

Preserving Your National Historic Landmark



**THE PROCEEDINGS OF THE NATIONAL HISTORIC LANDMARK
OWNERS' CONFERENCE**

**PRESERVING YOUR
NATIONAL HISTORIC LANDMARK**

**THE PROCEEDINGS OF THE NATIONAL HISTORIC LANDMARK
OWNERS' CONFERENCE**

**SEPTEMBER 9 - 10, 1994
DENVER, COLORADO**

**EDITED BY ELIZABETH WEGMAN-FRENCH
NATIONAL PARK SERVICE, ROCKY MOUNTAIN SYSTEM SUPPORT OFFICE
STEWARDSHIP AND PARTNERSHIP TEAM
DENVER, COLORADO
1996**

This publication was made possible, in part,
with special funding by the National Park Service
through its Partnerships in Cultural Resources Training Initiative.
1996, Denver, National Park Service, Rocky Mountain System Support Office,
Stewardship and Partnership Team



First Edition

Printing 9 8 7 6 5 4 3 2 1

*Cover photo: The Christopher Columbus statue graces the Grand Avenue entrance to the Tower Grove Park
National Historic Landmark in St. Louis, Missouri.*

Historic American Buildings Survey, Library of Congress, Lester Jones, photographer, 1940.

*Facing page: The Rookery NHL's use of skeletal construction and fine ornamental detail place it in the mainstream
of "Chicago School" architecture. Designed by Daniel Burnham and John W. Root, this 1880s structure is a prime
example in the development of multi-story commercial structures.*

Historic American Buildings Survey, Library of Congress, Cervin Robinson, photographer, 1963.

*Dedicated to the Owners and Stewards of our
National Historic Landmarks, for your interest,
enthusiasm and commitment
to our nation's treasures.*

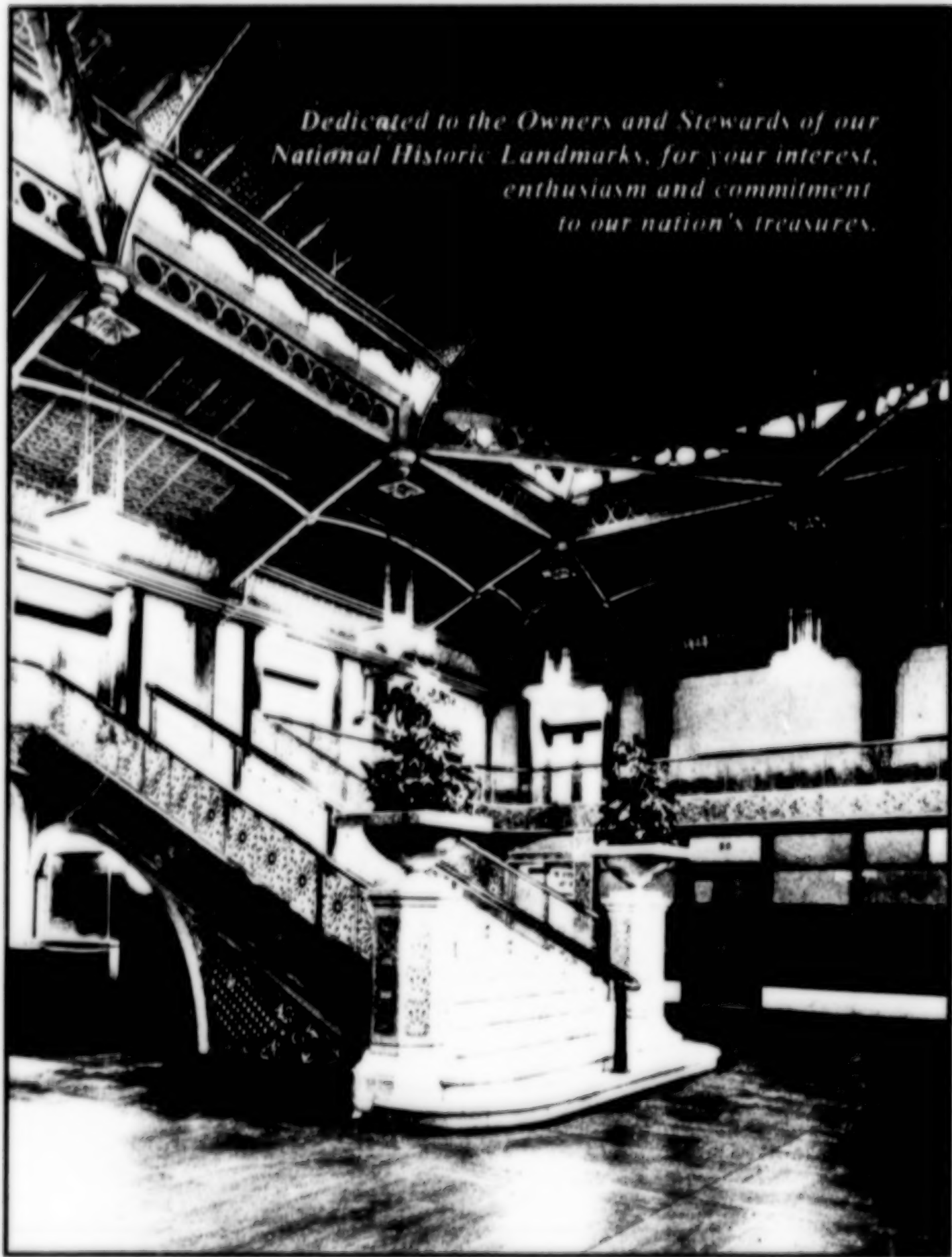


TABLE OF CONTENTS

Foreward	iii
<i>Michael D. Snyder, Superintendent, Rocky Mountain System Support Office</i>	
Preface	v
<i>Lysa Wegman-French</i>	
	
Welcoming Remarks	1
<i>Ron Everhart</i>	
The National Historic Landmarks Program: Its History and Significance	3
<i>Jim Charleston</i>	
Why Do We Care? A History of Preserving the Past	9
<i>Rodd Wheaton</i>	
What it Means to be a National Historic Landmark Owner	19
<i>Lysa Wegman-French</i>	
The Section 8 Report to Congress on Damaged and Threatened National Historic Landmarks: The Washington View	23
<i>Susan M. Escherich</i>	
The Section 8 Report to Congress on Damaged and Threatened National Historic Landmarks: The Regional Office View	27
<i>Christine Whitacre</i>	
A National Historic Landmark Case Study: The Philadelphia Toboggan Company Carousel Number 6	33
<i>Jo Downey</i>	
	
The National Park Services	37
<i>Tom Keohan</i>	
State Historic Preservation Offices: Illinois	41
<i>Steve Thompson</i>	
State Historic Preservation Offices: Colorado	47
<i>James Hartmann</i>	
The National Trust for Historic Preservation	49
<i>Barbara Pahl</i>	

The National Trust for Historic Preservation	49
<i>Barbara Pahl</i>	

TECHNICAL ASSISTANCE

Property Inspection and Maintenance: How to Identify Problems Before They Become Crises	55
<i>Merrill Ann Wilson</i>	
The Treatment of Historic Structures: The Secretary of the Interior's Standards	63
<i>Chris Jones</i>	
The Treatment of Historic Structures: The Old Faithful Inn Restoration Project	67
<i>Andy Beck</i>	

FINANCIAL ASSISTANCE

Developing Historic Buildings for Adaptive Reuse	75
<i>Gary Stenson</i>	
Federal Investment Tax Credit	81
<i>A. Sayre Hutchison</i>	
Preservation Easements	85
<i>Lane Ittelson</i>	
Fund Raising: The Basics	91
<i>T. Scott Smith</i>	
Fund Raising: Foundations	95
<i>Ellen Fisher</i>	
Fund Raising: Corporations and Individuals	107
<i>T. Scott Smith</i>	
Sources of Financial Assistance to National Historic Landmarks	115
<i>Susan M. Escherich</i>	

APPENDIX: THE SECRETARY OF THE INTERIOR'S STANDARDS FOR TREATMENT OF HISTORIC STRUCTURES

Appendix	127
-----------------------	-----

FOREWARD

Michael D. Snyder

National Historic Landmarks are special places. They are America's historic elite—our country's most treasured resources. The Secretary of the Interior has determined them to be significant to the history of the United States of America. They teach us about our past; they commemorate and illustrate our history and culture.

The National Register of Historic Places is the nation's official list of historic properties worth preserving. These properties can be important on either a local, state, or national level. Currently, there are about 62,000 listings on the National Register. Of these properties, only about 2,057 are considered nationally significant—a little more than 3%. The structures, districts, objects and sites in this select subset are known as National Historic Landmarks.

National Historic Landmarks are thus, by definition, our nation's most important historic and cultural resources. These properties—buildings, structures, districts, objects and sites—tell compelling stories about our nation's history and prehistory. They may be associated with broad patterns of history or with events that changed the course of history; with great ideals or with the lives of notable persons; with architectural, artistic, social, political, or cultural achievements. Taken in their entirety, NHLs present to the American people graphic illustrations of all aspects of our nation's history. Frank Lloyd Wright's Taliesin, Alcatraz Island, the Rose Bowl, San Francisco's Cable Cars, the Pearl Harbor Naval Base, Walden Pond, the Mark Twain Boyhood Home, Trinity Site, the Susan B. Anthony House, the Alamo, the Empire State Building, the Wounded Knee Massacre Site, the Confederate Capitol, and Monticello are only a handful of examples representing the fabric of our society.

Our country continues to develop, and the National Historic Landmark survey reflects those changes. One need only look at recent theme studies, nominations and designations to know that we never stop discovering important threads of our heritage. The women's history theme study, the African American theme study, Cape Canaveral, Hoover Dam, the Gateway Arch, Dealey Plaza in Dallas, a Minuteman II missile silo, and the in-progress theme study on the underground railroad—to identify sites whose goal was to remain secret—each says something important about our nation.

The National Historic Landmark survey recognizes many more important sites than the federal government could ever own and maintain. Only about 108 National Historic Landmarks are wholly or partially owned by the federal government—about 5% of the total. The majority of National Historic Landmarks are privately-owned, or have multiple owners. These landmarks in the hands of private individuals or companies, state or local governments, or Indian tribes represent a greater tapestry of our heritage than do federally-owned properties. These owners protect our national patrimony, a heritage that would not be protected otherwise.

Part of the National Park Service mission is to go beyond the boundaries of the park service units to provide technical assistance to these important resources. For instance, the new Rocky Mountain System Support Office's Stewardship and Partnership Team includes historical architects, historians, archaeologists, ethnographers and curators whose focus is outside the National Park Service, assisting people like you in protecting and preserving national landmarks.

Many historic sites follow a pattern in their own history. Perhaps the original owners built the structure or made a special purchase, and were quite proud of their acquisition. This may have been a house, a store, a bridge, a railroad, or a missile test site. But after some time, the shine wore off, there were newer models available, the property wasn't quite stylish enough, or big enough, or small enough. So they replaced their model. You can think of examples in your own life—interiors that were turquoise colored in the 1950s gave way to harvest gold and avocado in the 70s, which gave way to burgundy and gray and teal in the early 90s. Subsequent owners may have taken care of the property for a while, but soon they too became disillusioned, and lost interest. The property was set aside, perhaps forgotten. It is the end of the story for many structures—they deteriorate, or are so severely remodeled that one can't recognize the original structure, or are demolished. They are too new for people to recognize their value—they see them only as something too old to be modern. It doesn't seem special—only outdated. A nuisance to maintain. This is a dangerous time for a historic property. We lose many structures during this phase—they are torn down so a parking lot can be built, or a shopping mall, or an interstate highway.

In order for the historic property to come out of this dark time, it needs special people. It takes people who can see beyond the deteriorated condition, who can see how special it is, to go past the arguments that restoration isn't practical, go beyond the daunting price estimates. They can see into the heart of the historic site and feel its spirit. The property speaks to them, and touches their hearts and their spirit. They *know* they have to save the property. And so they make a historic decision: they take on the job. Not for just a few months, or a year or two. They are persistent. They are not quitters. It is true that the NHL designation goes to the historic property, for it is the property itself that is historic, not the owner. But the owner can make or break a site. Their efforts preserve their important part of our nation's heritage.

I feel honored to be in partnership with these owners. You who have taken these NHLs into your hearts are to be commended for your responsible stewardship of our cultural heritage.

PREFACE

Lysa Wegman-French

Over the past decade, the National Park has focused people and resources on identifying National Historic Landmarks (NHLs) and collecting information on their physical status. In 1993, the staff of the Rocky Mountain Regional Office of the National Park Service (NPS) asked owners of NHLs what other types of services they would like to receive from the NPS. Their responses overwhelmingly endorsed the idea of holding a meeting of NHL owners. Furthermore, they suggested topics they would like to be discussed at the meeting. Although the National Park Service had never organized a meeting of this type, the Rocky Mountain Regional staff decided to host a meeting of people who owned or represented NHLs in the sixteen-state region. Through special funding by the National Park Service's Partnerships in Cultural Resources Training Initiative, the conference occurred in Denver in September 1994.

Although federal and state governments own numerous NHLs, the target audience for the meeting consisted of owners who were private individuals or companies, nonprofit organizations, Indian tribes, and local governments. The majority of these owners have no formal training in preservation, yet they own and care for our nation's most important historic resources.

The workshop brought together preservation professionals from the National Park Service, the National Trust for Historic Preservation, State Historic Preservation Offices, foundations, and private consulting firms to provide information useful to the owners. In addition, the meeting provided a forum for NHL owners to meet and discuss common problems and share their solutions.

The Rocky Mountain Regional staff was not far into planning the conference when we realized that the information had to be captured. Publishing the proceedings would be an excellent method of communicating the conference information to *all* owners, even those who could not attend the meeting. In addition, while the conference lasted only two days, the publication would make that information available permanently. Once again, the NPS Partnerships in Cultural Resources Training Initiative provided funding for the endeavor. This publication is the result.

Following the format of the workshop, the contents of this publication are divided into four major sections: basic information, the roles of the three main preservation agencies, technical assistance, and financial assistance. The contents of these proceedings are not formal papers presenting scholarly research; instead, they are the edited transcripts of the talks given at the rather informal meeting.

Many people have contributed to this publication, and deserve recognition for their efforts. Van Brower provided technical recording advice, instruction in recording the conference, and also copied the tapes. Susan Escherich, Pat Kisling, Ramona Ruhl, and Christine Whitacre actually operated the recording equipment during the sessions. Tiffany Greer, Scott Schilz, Patricia Bailey, and Cynthia Wasinger transcribed the recordings under the coordination of Donna Petty. In addition to giving presentations at the conference, each of the speakers gave generously of their time in proofing and correcting the edited transcripts of their talks. Pat Kisling transferred these corrections to the computer files. Lori Kinser designed the publication, under a tight deadline, of course. Through the entire process, Gregory Kendrick provided the vision and guidance required to create this publication. My thanks and appreciation go to each of you.

WELCOMING REMARKS

Ron Everhart

At the time of the conference, Ron Everhart was the Deputy Regional Director of the Rocky Mountain Region of the National Park Service. In the new organization, which he discusses in his remarks, Everhart is now the Deputy Field Director, Rocky Mountain Cluster.



I have that pleasurable duty of being able to welcome all of you and not saying anything very serious. It's fallen to me this morning because the real Regional Director is being reassigned; Bob Baker is on his way today to Atlanta to assume his new duties as Southeast Regional Director. We'll talk about that a little bit later. The new Regional Director for the Rocky Mountain Region is John Cook, who is currently down in Santa Fe being Regional Director there. So we're in the middle of a big shuffle and as a result of that, your fate is to be addressed by me this morning. And I'm pleased to be able to do that.

The National Historic Landmarks program is one of the most prestigious programs in the National Park Service, something that is very, very important to us. Fewer than 4% of the properties listed on the National Register of Historic Places actually qualify for National Historic Landmark status, so you are indeed a select group that are gathered here today. The majority of NHL's, as you probably know, are not owned by the National Park Service. We have a few of them, but most of them are owned by private individuals and corporations; some are owned by other government agencies. It's that partnership that we're looking to reach out to today and forge as part of the NPS system. This is the NPS system which is not just the

parks themselves, the Yellowstone, the Yosemite, the Independences, the Statues of Liberty, they also include your properties, these NHLs, these little pieces of Americana, our national heritage that we share. It's extraordinarily important. We've been longtime partners. The NHL program began in 1935. The legislation itself gave the NPS the authority to identify and designate the nation's most significant cultural resources. I view these cultural properties as being our national heritage, what defines us as a people, and explains our history.

The reason that Mr. Baker is not here and Mr. Cook hasn't quite arrived is that we are in the throes of reorganization. This is happening to many agencies and organizations today. As you may recall, the vice president, Mr. Gore, has directed the government to reinvent itself; we are engaged in a vast project to accomplish just that. We are in the process of reducing the number of regional offices. The Rocky Mountain Region, which consists of the six northern mountain states, is merging with the Southwest Region which will include Arizona, New Mexico, Texas, and Oklahoma; this will be a new Field Area. Mr. Cook, who is currently down in Santa Fe will be moving here to Denver as the new Field Director, and in that Field Area we will have roughly ten states or so stretching from Canada to Mexico. So it's a sizable area. This consolidation will result in reduction in the number of staff people in Field Offices and a concurrent increase in the number of people who work closer to the parks and resources and with your programs. That is one of the goals. Right now we have Regional Offices and roughly 250 people in each Regional Office. The new Field Directors Offices will have fewer than 30 people; the difference

being that the technical and professional staff which are now in the Regional Offices will be moved closer to work that they do and given greater latitude and authority to accomplish their work. That is very important—there's a significant delegation of authority.

As we go through this reinvention of ourselves, we think it's important that we consult with our partners on the processes by which we do our work; this conference is part of that. We need to know from you how best to operate this program. And so as much as we are going to try to impart important information to you, we also need some feedback from you on how we should be working this program. That's very important. We need your participation. We need your ideas. We expect this program, in the future, to be less regulatory and more assistance-oriented. That's our hope. That's our goal. And, as I say, we need your help to accomplish that. So, with that introduction, we can probably get going. I hope to stay around for a little while and chat with some of you over the next few hours. Again, thank you for your attendance and participation. ☺

THE NATIONAL HISTORIC LANDMARKS PROGRAM: ITS HISTORY AND SIGNIFICANCE

Jim Charleton

At the time of the conference, Jim Charleton was a historian with the History Division of the National Park Service in Washington, D.C., a position he held for more than thirteen years. During that time, he prepared National Historic Landmark theme and special studies on a variety of topics, including the American Presidents, ethnic history, and the history of recreation in the United States. He also prepared successful World Heritage nominations for the Statue of Liberty, Independence Hall, and San Juan National Historic Site. Since then, he has assumed responsibilities in the National Park Service's Office of International Affairs.



I was warned by a local judge in Virginia never to give a speech to an audience that has just had lunch or dinner. He cited a study in *Psychology Today* that said there are three categories of people in such audiences: one group will listen to every word, another will go to sleep, and a third will lapse into fantasy. *Psychology Today* suggests that those may be sexual fantasies, but I'm not going to make any presuppositions in this case. So, those of you who wish to listen to me talk about the origins of the National Historic Landmarks program, thank you for your attention. Those of you who wish to sleep, I hope you awake refreshed, and those of you with fantasies, I hope they are satisfying, whatever they may be.

Those of you who would rather read a book than listen to this talk, can consult the history of the National Historic Landmarks Program prepared by Barry Mackintosh of the History Division, entitled *The Historic*

Sites Survey and National Historic Landmarks Program. Barry was the person who was supposed to come out and give this speech, so I am substituting for him with very little notice, and accordingly my remarks may not be as well organized as his might have been.

It's a difficult assignment for those of you who are listening to me, but it's an easy assignment for me. That's because I am able to assume that you are a friendly audience. When I was invited to talk today, I rather readily accepted because meeting with people who are very interested in the preservation of their sites is a whole lot easier than some of the other experiences and woes that I've had as a National Historic Landmark Historian. I will just cite a couple, to give you a sense of why I'm so pleased to be here rather than doing some of these other things.

We have had National Historic Landmark plaques miscast with typos requiring that we work very hard to get them corrected in time for dedication ceremonies. In touring, I've been greeted by an owner and his "dog" "Honeybunch," the latter of whom more resembled a pet wolf than a dog. On another occasion, I complimented the male owner of a candidate property on his two "daughters'" fine manners only to learn that neither was his daughter and one was his very young wife.

Consequently, it's easy to come into a forum where we're dealing with people who are very interested in the properties that they own or work with. Each of you has come here because you're either an owner of, or associated with the management of, a National Historic Landmark. National Historic Landmarks are the some-2,000

properties that have been given the highest national designation accorded by the U.S. Government, the National Historic Landmark designation granted by the Secretary of the Interior. [In early 1996 there were 2,170 NHLs.] The National Historic Landmarks have been called "a privately-held park system" and that's what they really are in a sense. The futures of a significant number of them in this region are in the hands of the people in this room.

The task of the National Park Service these days—and I think even since the 1930s, as I'll tell you in a few minutes—has been to work in partnership with landmark owners to preserve and protect these properties. This meeting, as has been pointed out, is a precedent-setting step in that direction. We have not often convened sessions like this with groups of landmark owners. Customarily we go out and visit the sites, and we have a one-to-one relationship between either our regional office or our Washington office and the individual landmark owners. The landmark owners have not gathered together and have not had the opportunity for interchange and exchange of ideas.

I think that it's also worthy to note that this part of the nation, the sixteen states covered by the programs run out of Denver, in some ways has been extremely good about preserving some of its National Historic Landmarks, even when there was no positive incentive to do so. I'm going to single out two examples, not because they are necessarily the best, but because they are two examples in this part of the country that I've worked with. One of them is the Carousel in Kit Carson County, Colorado. The Carousel would be very, very valuable if it were broken up and the parts sold to collectors. Yet, the Kit Carson County Carousel has been preserved and is the focus of local pride, and that says a lot about the people in that community. Another example that I'm very

familiar with is the Dealey Plaza Historic District, including the Texas School Book Depository. That's an area in downtown Dallas associated with one of the most odious events in American history, the assassination of President Kennedy. For many years, powerful forces in Dallas wanted to destroy this building and yet a group of determined people rallied round, and convinced the community to preserve the property.

Now, I'd just like to say—before I give any more background on the National Historic Landmarks program—that you in this room deserve our highest respect. You have struggled, in some instances, with community indifference, if not hostility, and certainly in the Dallas instance, it was hostility of a very high order. You've also struggled with the fact that the economic incentives very often are to demolish and develop rather than to restore and preserve. You've also struggled to find the time to do this kind of work when other kinds of work might have paid you a lot more; working in preservation may even have cost you something.

Now, how did we get a National Historic Landmarks program that embraces properties that are as diverse as the ones represented here today—and that diversity extends across the country? In terms of the Federal government, the National Historic Landmarks program is an "ancient" program; it was authorized by the Historic Sites Act of 1935. I feel I ought to share a little bit of context, or background, to how that act came to be.

We Americans are a young nation, and I think one way to emphasize that is to explain that I was born in a year—1946—that is just as close to the Spanish-American War as it is to today. My former boss, Ed Bearss—who is, contrary to popular opinion, not 130 years old and did not actually take part in all the Civil War battles that he likes to give tours about—nevertheless was born in a year—

1923—that is nearer in time to the Civil War than the present.

So what we have to recognize is that this nation is really very young. Initially, people didn't think in terms of history and preserving historic sites, because it was too close to them, it was a very contemporary thing.

But by the late 1920s, a sense of history was beginning to emerge. Important anniversaries were coming up, the bicentennial of George Washington's birth and the 75th anniversary of the Civil War. In the 1930s there were still some Civil War veterans alive. When the 75th anniversary was held at Gettysburg, the superintendent laid in a supply of coffins as a precaution in case any of the old veterans died during the festivities. I'm happy to report that none did. But the anniversary focused attention on that history still within living memory.

We thus had an increasing awareness of our history in the 1930s, but it was a fairly narrow focus. We also had something happening economically: the Great Depression. The historic sites that people were beginning to become concerned about were in states and communities that didn't have the resources to care for them.

In 1933, the National Park Service took responsibility for its first historic sites, some of the Civil War battlefields. In that year, it became very clear from the mail that was pouring into Washington that people wanted their historic sites tended to, or at least given some attention by the Federal Government. There were hundreds of requests coming in to what was then a very small staff in the National Park Service. The staff began to accumulate information on all these sites. They recognized right away that they had to decide which ones were important. George Washington, after all, had slept in a great many different places, and the Federal government couldn't possibly acquire all of them. So what they began to do was to

gather information on different topics, and to sort them thematically. They collected lots of information on Revolutionary and Civil War battles. They collected lots of information on Presidents' houses. And in order to try to provide some recognition to properties that the Federal government couldn't take care of or directly own, they came up with the idea of a National Historic Landmark designation. They didn't call it that, but the germ of the idea was very clearly there, and the idea of a partnership between the Federal government and the owners of properties that were not in the Federal estate, was planted very firmly.

World War II put a lot of civilian programs in the Federal government, if not to a halt, at least into suspension. Everything had to be put into the war effort. The National Park Service actually shut down its offices, and even many of the parks; a program like National Historic Landmarks was obviously not as important as the war effort. And after the war, indeed, the idea languished until the late 1950s, when a group charged with improving the National Park Service came up with the idea of "Mission 66." This was a program of restoration for the parks and a major set of Service activities to be completed by 1966, the 50th anniversary of the establishment of the National Park Service.

The National Historic Landmark idea came out of dormancy as part of the Mission 66 effort, and historians were hired to begin doing theme studies. Theme studies are the studies of related topics alluded to earlier, studying, for example, all the places that George Washington, John Adams, Tom Jefferson had lived or visited, evaluating their current state of preservation, and deciding which ones were so important that they deserved Federal recognition. Although there are numerous historic sites in the United States that have disappeared, there are also a good many that are still intact. And the

National Historic Landmarks program recognizes the very best of those.

After the National Historic Landmarks program was revived in the early 1960s, it has continued more or less consistently until today. Since the 1960s, there has been a small cadre of people amassing information on important historic sites and working with the property owners to see that they are designated and protected.

The single biggest development in the landmarks program since the 1960s is that we have begun to study and explore more and more important areas of American history. In the 1960s, ethnic history meant essentially colonial history, the English, Spanish, French, Dutch and Swedes, who had come to the United States before the American Revolution. We also gave little attention to women's history.

In recent years, we have expanded that understanding and have begun, for example, to work with the great diversity of ethnic groups that make up the United States. We have not been able to do as much work in this area that we'd like, but we've made an important beginning at it. One of those is the study that I'm currently partially charged with, and that is the study of the underground railroad, which is an extremely important aspect of American history pre-Civil War. It's an aspect that has important meaning, not only for African-Americans, but for all Americans, because this story is an epochal episode in the struggle for freedom, with important subthemes of African-American self-help and interracial cooperation. The fugitives from slavery were our "foot people" and our "boat people" of the last century, even our "box people," because a few people actually shipped themselves to freedom in crates and coffins.

Most people can recognize the importance and the enduring interest of a topic like the underground railroad. On the

other hand, they may not understand or generally recognize why carousels, for example, merit National Historic Landmark designation. And, indeed, when we began the study of the history of recreation in the United States and felt we had to consider carousels, we were very worried that we were going to get an article in the *Washington Post* to the effect that, "This is really the Washington merry-go-round, the National Park Service is studying carousels."

But such turned out not to be the case. The study of carousels and amusement parks teaches many lessons about American history. Americans of many ethnicities made carousels, manufacturing their complex mechanical components and artistically crafted parts. There's ethnic history in names like Wurlitzer, Looff, or Dentzel. The history of carousels also tells something about the American people, in that they have come to value such properties in an enduring way. The carousels that have survived and are designated as National Historic Landmarks are very popular. And there has never been even a single negative editorial about their historical recognition. People love them.

I've hit two examples of studies that we've done in recent years. I don't think it's really necessary to provide much more of a defense of why we're doing these things to a group like you. You know why your properties are important. You have some appreciation for them. I hope you find it comforting that there is some appreciation for the feeling that you've got about your properties.

I'd like to close simply by repeating what I said earlier. These are national treasures that are in your hands, and it's our job to work with you in partnerships to try to preserve them. I think I'll conclude now and open this up to any questions, comments, and negative criticisms.

Question: I think some people would find it interesting if you could talk about the History Division and some of the studies that are ongoing now, that Congress has asked you to do in the near future.

Response: The underground railroad study is going on. We've also got studies going on American labor history, architecture, and engineering. We have a very small staff. We're working in partnership even on those studies. There are also unfunded studies that Congress has asked us to do of certain topics such as Japanese-American internment camps and African-American history as a whole. We don't really need special warrant to study anything.

And very frequently we're asked to study properties that have come up outside the theme structure, typically involving endangered properties. The Dealey Plaza study was an example of that. It was a preservation question in Dallas. We were approached. It was a study that really required us to exercise a lot of care in deciding how we were going to handle the significance and the history.

We have a general warrant to study and we also have an obligation to try to address important historic properties that are threatened, and so sometimes our finely wrought schedules get overrun by the problems of properties that are endangered.

Question: Tell us about the designation process. Who votes? Who decides?

Response: Unless a property is identified by an historian conducting a theme study, the decision to study is most often based either on a request that comes from someone—an individual, an owner, a State Historic Preservation Officer, or a Congress person who's concerned about the preservation of a particular property.

A study then has to be prepared, and it's prepared on the National Register form that most of you are familiar with.

I would hope that each of you has a copy of the documentation on your own property. In some instances where there have been changes in ownership, the previous owner might or might not have turned that material over to you. It would be important for us to provide you with all the information that we've got and hear back from you if there are errors, questionable statements or other information in that documentation or something that you would like to see added and made available to people who want to do research on important sites in American history.

Once a study is done, it's presented to the National Park Service Advisory Board, which is a nationally appointed committee, somewhat similar to the preservation boards all of you are familiar with at the local or the state levels. It has to have a historian, an architect, an archeologist, and so on. The national board votes on the National Historic Landmark designations and presents non-binding recommendations to the Secretary of the Interior. For privately owned properties, owner concurrence is required. Or, if it's an historic district that has multiple owners, the concurrence of a majority of the people in that area, or at least not the active opposition of the majority of the people in that historic district is required. The Secretary of the Interior then makes a designation, or decides not to designate, based upon the study, the recommendations made by the Advisory Board, and the comments of the owners and other parties. The decision is the Secretary's alone.

Following designation, owners are notified and arrangements made to

provide them with a free bronze plaque identifying the property as a National Historic Landmark. A presentation ceremony is also scheduled if the owner desires. Most owners are pleased to have one, but may not if the landmark is in a residential neighborhood or if it is an archeological site, both cases where attracting a great deal of public attention to the property would be ill advised. ☺

WHY DO WE CARE? A HISTORY OF PRESERVING THE PAST

Rodd Wheaton

Rodd Wheaton was Chief of the Division of Cultural Resources Management for the Rocky Mountain Regional Office of the National Park Service when he delivered these remarks. Currently, as the result of the 1993 reorganization of the NPS, he is the Assistant Field Director, Cultural Resources and Partnerships in the Intermountain Field Area. Wheaton is an architect and an architectural historian by training and has 25 years experience, from working with a private architectural firm in Baltimore, Maryland, and the Historic American Buildings Survey in Washington, D.C., to working with the architecture of America's great western national parks. He has a special interest in historical architecture education with special emphasis on the decorative arts and interpreting modernist architecture as historic architecture.



Considering why historic preservation is important to us, "the converted," is an interesting challenge. We have an immediate regard for historic preservation because we are preservation professionals, because we own historic structures, or because we genuinely care about the past. However, in articulating the "why", it is necessary to arrive at a common understanding in order that we can convey that importance to our ambivalent constituencies. The concept of revering the past has been around for several millennia.

Herodotus, a fifth century B.C. Greek historian, proclaimed seven wonders of the world, an original National Historic Landmarks listing. Six of the seven wonders of the Western World essentially have disappeared. The statue of Zeus in Olympia's

Temple of Zeus was plundered and carted away eventually to be destroyed. The Colossus at Rhodes, though rebuilt on several occasions, eventually succumbed to earthquakes. The Mausoleum of Halicarnassus fell into ruin and was eventually salvaged for the British Museum; the Hanging Gardens of Babylon were obliterated with that city, and, the Lighthouse of Alexandria toppled in yet another earthquake. As mute testament to the need for an historic preservation program, even in the ancient world, only the Egyptian pyramids at Giza survive.

The preservation of structures in Egypt was a cultural phenomenon. Architecture and the decorative arts were so rigidly controlled and stylized that for thousands of years very little changed. Thus, Egyptian architectural history is simplified by categorizing it into a few dynasties over four thousand years, similar to Chinese culture. There is seldom the need to make a fine distinction as we must do now to define Victorian Gothic, early Gothic, French Gothic, English Gothic, perpendicular and flamboyant Gothic, Ruskinian Gothic, carpenter Gothic, or just plain Gothic Revival.

Preservation in Greece also was a perpetuation of form, and the preservation of the form really became the whole issue. Greece developed a very symbolic religious architecture in creating temples for the worship a particular god or goddess. Dedicated to Athena, the Parthenon in Athens is a pivotal example of the symbolism of temple architecture based on controlled design and symbolism. Built of marble, the structure was based on wooden architecture with Doric columns expressing the masculine. Conversely, the scrolled Ionic order were

considered feminine. The less-used Corinthian order is reputedly based on an altar offering basket with acanthus foliage. Ornamenting these orders, the egg and dart moldings symbolize the offering of arrow points and eggs to the gods.

Rome mimicked Greece and practiced preservation in the form of looting and plundering the treasures of Attica. The Grecian culture was usurped. However, in the process, the Greek form was embellished. In addition to the three orders of Greek architecture, the Romans added composite orders including the Tuscan—a Doric Column on a base. The Romans' contribution, though, was the development of the concept of the arch and the dome to roof larger gathering spaces, creating the basilica.

As Rome crumbled, the early Christians borrowed architectural components and forms: columns and basilicas. Several early Christian churches in Rome exemplify the salvage of parts where each column capital is of different order from a pagan building. The domed Pantheon was preserved entirely for a Christian church. In general, though, the Christian preservation ethic was based on eradication of the pagan that gave rise to a style called Romanesque usually characterized by the use of round arches.

Similarly, early Islamic cultures borrowed the same concepts as early Christians. Inherited Roman buildings throughout the Middle East became a part of the Islamic architecture and culture with innovations in detail such as the horseshoe arch. In addition, climatic considerations played a major role in the spread of Islamic architecture from Egypt to Turkey and beyond.

Within the survey of Western architecture, probably the one truly unique concept is Gothic, a "barbaric" form of architecture associated originally with the Vandals and the Visigoths. It was, in reality, a

structural system. Instead of the round barrel vault, the groin vault came into favor. The groin was formed by the intersection of two barrel vaults. The juncture suggested the use of a double-centered arch—the Gothic or pointed arch in all of its myriad of variations and descriptions. As a result, the vaulting could be lighter, the walls taller, and the windows larger. However, technical difficulties with the limits of a post and beam construction arose. As the walls got taller, they required additional support in the form of flying buttresses, the artfulness of which further defined Gothic architecture.

The Renaissance was literally the "rebirth" of classical motifs. It is no coincidence that the Renaissance started in Italy where the academic study of earlier architecture lent itself by copying old forms, manipulating them, and reinventing new ones. The Doge's Palace in Venice is a fine example of this change of style from the early Christian Romanesque round arches at the base which support a Gothic gallery level with characteristic pointed arches. A full Renaissance addition of two upper floor introduces classical proportions and classical detailing to the structure. The Renaissance, in borrowing classical detailing, applied them in new and inventive ways to new forms of buildings including dwellings, commercial and educational structures, and churches.

The eighteenth century concept of preservation had a major archeological impact through below-ground excavation of classical sites since surface materials were rapidly being depleted. Marble was salvaged or slaked for lime and buildings, like the Coliseum in Rome, were mined for the bronze structural clamps.

By the mid-eighteenth century scholars began to actually study the styles of antiquity and appreciate them in their own historical context. From this academic interest there arose a desire to accurately emulate the past

styles, not just pick and choose pieces of them or improve upon them. It was during this era that the ruins of Pompeii, inundated by Mt. Vesuvius in A.D. 79, were discovered. Initially, excavators started removing sculptures, to adorn the palaces of the Medicis and the like. But when excavators discovered nearly intact rooms and documented the architecture and decorative arts, the Pompeian style soon spread all over Europe. The city of Pompeii provided the catalyst for an academic point of view of classical civilization in Italy.

In England, the discovery had a profound influence on various architects. Preservation of Roman culture in England, which had been part of the Roman Empire, centered on Robert Adam. He was probably the greatest classical architect in England and his interest in the Pompeian style manifested itself within rooms like the "Etruscan Room" at Osterly Park just outside of London. The arabesque motifs on the walls are clearly derived from the excavations at Pompeii and as such create one of the purest academic rooms of the English Renaissance. This preservation ethic not only led to material things augmenting art collections from Pompeii itself, but it also spawned a whole new interest in academic classicism in England and America, where the English Renaissance is called "Georgian" and then "Federal" in an allusion to independence.

The next step in academic preservation led scholars to consider that if Rome was so great, would not the study of the origins of classical architecture in Greece be more pure. Englishmen James Stewart and Nicholas Revett spent three years in Greece on a massive campaign to measure the buildings of ancient Greece, including the Parthenon. Working under very difficult circumstances, since Greece was part of the Turkish Empire, they eventually fled the country after having been accused of violating Islamic shrines. However, their efforts resulted in the

publishing of *The Antiquities of Athens*, which became the rallying cry for the preservation of Greek monuments into the nineteenth century—when the Parthenon, in which explosives were stored, was shelled by the Venetians and exploded, collapsing the central section.

Greece as the original democracy, then subjugated under the control of the Turks, stirred Americans and gave rise to the Greek Revival Style in America. The idea centered on the concept that the patrimony of this country's existence as a democracy was rooted in Greece, not Rome as had been espoused by Thomas Jefferson, who thought of America as the new Rome. Across America Greek temples appeared as houses, theaters, banks, universities, waterworks, courthouses, and capitols from Maine to Florida to California. The most startling of all, though, is the use of the Greek temple—an icon of pagan worship—for Christian churches.

Simultaneously, Europe slowly moved from the Renaissance into a late classical period that reflected the rise of the French taste for court and royal palaces. This matured into Napoleon's Empire Style which was based, in part, on excavations in ancient Egypt. The European Empire style, particularly in the works of German architects, also began to look towards Greece for design inspiration in the construction of great neo-classical monuments like the Brandenburg Gate in Berlin.

However, poverty, or at least reduced circumstances, was the best preservationist in Europe. Without capital for improvement in many former headquarters of empire, change was slow to occur where cities were typically constrained by medieval street patterns and old security walls. Preservation gave way, however, in major capital cities like Vienna where the demolition of the city walls provided impetus for new construction of a

grand boulevard around the old city. Similarly in Paris, diagonal boulevards cut through the old medieval city center and opened up grand vistas and provided for the unified construction of streetscapes. However, these were exceptions where the rule was the gradual supplanting of older buildings while maintaining the essence of the cities' heritage through continual reuse and adaptation.

The genesis of preserving historic structures in America, where change has long been endemic, began to focus on the preservation of presidential homes. The year 1851 saw the establishment of the Mount Vernon Ladies Association which operates George Washington's Mount Vernon estate. This veneration of the first American president set a new standard for public preservation. The saving of the homes of the founding fathers provided humanistic images of public icons and resulted in the establishment of house museums that preserved historic structures. America began to look at itself as a nation and through these monuments saw a national ideal.

Beyond the preservation of single isolated houses, it took the publication of books which were revered as icons of America's cultural heritage to expand adoration beyond a single house museum. *The House of the Seven Gables* by Nathaniel Hawthorne focused interest on Salem, Massachusetts as a colonial American city with a colorful history of witches and merchant seamen. America had begun to look in on itself and took the first tentative steps towards appreciating its own history. The culmination of this nineteenth-century introspection was the 1876 Centennial Exhibition in Philadelphia. Each state exhibited a building that was designed to reflect its own state history. The end result was the erection of numerous state monuments in the form of historic houses.

The centennial year of America, 1876, begged the question: What is "olde" in America?

Up to this watershed year, America as a developing industrial nation paid scant attention to the idea of preserving a native culture; the country was changing rapidly. However, on reflection in 1876, a century of history had passed since America fought the Revolutionary War; and the realization grew for a need to be concerned about what was left. One of the disasters of the period was the demolition of the magnificent John Hancock House in Boston. This terrible loss to the history of architecture did, however, produce a great impetus for Boston to become more focused on preservation. Similar depredations occurred elsewhere and the loss of history was mourned.

Replenishment of the loss in the late nineteenth century quickly defined a new style of architecture which we now call Colonial Revival or, in its more academic forms, Georgian Revival. This period lasted well into the twentieth century through the marketing of Williamsburg, Virginia. The movement demonstrated that America had come of age, an image was established—an image that the colonial era and the Revolutionary War era were bona fide history. A hundred years was "olde" enough to match Europe.

By 1906, with the signing of the Antiquities Act, the concept of "olde" was finally to be pushed back several centuries with the acknowledgement that there had been an Indian heritage that predated European settlement. The bill was enacted to preserve Mesa Verde and other prehistoric archaeological sites as integral parts of the "olde"—tenth and eleventh century old. As a benefit, the interest in prehistoric archaeology engendered an interest in the cultural heritage of Native Americans themselves. This interest in the preservation of native cultures

also helped establish the rise of the Arts and Crafts movement in America.

Lorenzo Hubbell, who established Hubbell Trading Post, near Ganado, Arizona, was instrumental in changing the designs of the Navajo weavers. What today are known as "traditional" Navajo rug patterns are adaptations of the Turkish flat weave patterns. Hubbell was interested in assuring marketability to the Arts and Crafts collectors. The result was the preservation of the wool and weaving culture for the Navajo and the transference of that culture to the Morris chairs and Stickley settles of Craftsman homes.

The prehistoric cultural patrimony educates American Indians about themselves and how they dealt with change. For years, Mesa Verde and similar archeological sites remained beyond Puebloan American Indian traditions. Even the name "Anasazi" was a Navajo word for "ancient ones." Now the Pueblo tribes actively recognize these sites as "Ancestral Puebloan," choosing not to use the Navajo word. From the tribes who claim the archeological sites as ancestral homes and Euro-Americans who claim them for the antiquity, to the visiting Europeans who fulfill their childhood storybook fantasies, the preservation of the prehistoric ruins of the American Southwest have very special meanings that have engendered their preservation as cultural sites.

The early twentieth century also became the era of reexamining America's communities as a place of commerce, as a place to live, and as a marketing device for the American tourist industry which was capitalizing on the freedom and mobility of the automobile. The question of what these communities mean to the residents and to other Americans is exemplified by Charleston, South Carolina. The citizens of Charleston became increasingly concerned about the erosion of their lifeways because of

encroachment and change. They enacted one of the first preservation ordinances in the country, to protect not just individual houses, but an historic area. The intent was to ward off inappropriate development. The citizens said that city was "olde" and that they wanted it to stay that way. While change in Charleston has always been an anathema, nevertheless, unrestricted change was officially rejected, zoned, and carefully reviewed for the future, in an effort to assure that poverty would not be the only preservation tool. The concept has worked well for marketing Charleston's community history—as happened also in New Orleans and Santa Fe. These cities are destination points for tourists from the United States as well as abroad.

The 1930s also witnessed the marketing of Williamsburg, Virginia, to America and the world. Initially, it was the marketing of great moments of American history leading to the Revolutionary War that led to the preservation, restoration, and reconstruction of an entire town—the ultimate historic preservation project. Williamsburg recreates the story of America by emphasizing patriotism, and the town is a stage set for that experience. It also strengthened the idea that the eighteenth century was the pivotal moment of America and that nothing much else happened after that except on Civil War battlefields. It is a community where selective editing and reconstruction enforce a point in time. Though this was a 1930s viewpoint, this ethic continued to permeate the entire country for several decades, provoking disdain for "Victorian" and "modernist" architecture, while in turn assuring the enactment of "colonial" and "adobe" ordinances in other cities across the country.

Therein lies the burden of historic preservation in the American West: we are faced with trying to convince our

constituencies that nineteenth-century cultural heritage is significant. This cultural fabric is the essence of our history and it is of equal importance. The Victorian period, in all of its many facets, tells something about the Industrial Revolution and availability of building materials. It tells of transportation corridors to ship those materials to the market. Like earlier periods, this cultural progress tells of technology and social convention.

Interestingly, the images of even the eighteenth century in America are being reexamined in this new light of reality. Williamsburg, itself, has begun reinterpreting its historical buildings; the reconstructed Governor's Palace interiors are not quite as elegant and grand as they were thought to be in the 1930s. A stove pipe now projects through a window pane of the ballroom, and silk damask upholstered Chippendale sofas are now relegated to the decorative arts museum. By reexamining some of these icons, we in the preservation community are educating ourselves, our neighbors, and our constituencies who visit our National Historic Landmark properties.

Towards this reexamination, we must look not only at high-style architecture, but also the vernacular buildings that make up the bulk of structures in any one historic district. Preservation as an idea does not just center on the Vanderbilts creating the "Breakers" in Newport, Rhode Island. The history of architecture is that of many different peoples creating a built environment for themselves; these buildings, structures, and districts are important for various reasons. The National Historic Landmarks program, by looking at a variety of themes, begins to address this broad spectrum. Each evokes a period of time and of place. Through this mode, there has been a redemption of the "Victorian" over the last twenty years. We can now pass educated judgement on some of these

structures and pronounce it good design or demonstrate why it is bad design. We can judge its materials and craftsmanship from an academic point of view. Above all, we can no longer pronounce Victorian buildings as ugly based on personal taste, alone.

The idea is beginning to germinate as we move toward considering modernist architecture as historic. Architectural historians are now saying, for the most part, that Art Deco is significant. Art Deco relied on ornament; it is quantifiable and it relates to a palate of classicism. Such buildings are increasingly being preserved. Art Deco is also the beginning of modernist architecture.

The next step is that America, like many European countries, will cherish its modernist architectural heritage. Typically, nearly every community has modernist buildings, whether remodeled store fronts or entire structures. It has been estimated that 75% of downtown Denver buildings are less than fifty years old. The reality is most of our cities are not quaint but are growing, burgeoning, and functioning communities. These newer groups of buildings also represent their place in time. The modernist style of the late 1940s through the 1980s—derived from Germany's pre-World War II Bauhaus and the dispersal of its architect educators—represents the streamlining and stripping away of ornament, leaving behind the clearest expression of structure, the new ornament. Many such buildings are landmarks of design, structural innovation, and social history.

The watershed of historic preservation efforts in America, though, came with the enactment of the 1935 Historic Sites Act which began to define a nationwide preservation ethic. The act established the Historic American Buildings Survey for the recordation of historic buildings. To date, the collection of measured drawings of historic structures is one of the premier building archives in the world and can be readily

accessed for many uses. The act of 1935 also established the National Historic Landmarks Program. This became the first systematic approach to identifying key historic buildings as being nationally significant and worthy of preservation. Identified within broad historical themes, the National Historic Landmarks program was an important step in looking at the tangible remains of American history. From presidential mansions to the cultural aspects of the development of modern dance in America, National Historic Landmarks visualize the story. Because this is a changing nation, the program continues to expand in numerous important directions including America's exploration of space.

Building on the Historic Sites Act of 1935, the 1940s saw the maturation of a national preservation ethic that extended beyond government dictates. This evolved into the creation of the National Trust for Historic Preservation, which has become that "keeper of houses," as well as being heavily involved in a publications program, and grass roots preservation efforts at the local level. However, focus continued to be on the most important structures and districts, those of national significance. During the 1950s and early 1960s, this nearly led to disaster for America cultural resources and its state and locally significant properties.

Ms. Marcella Sherfy, until recently the Montana State Historic Preservation Officer, summed up this tenuous period by writing for a talk,

The world took an interesting turn after World War II. And, it took the same turn in many homes as in our outside business world. The ethic of conserving household goods disappeared. The industrial revolution in all its phases introduced the tricky notion that new constituted better. By the end of World War II, in the 1950s and 1960s, a substantial portion of the American

population could act on that ethic—could talk and demolish and buy and build quickly.

People went through a kind of wild phase. The upturn in the economy, in population, and in technology rearranged our towns with shopping malls and gave us huge new subdivisions; old neighborhoods and corner grocery stores became obsolete, if not blighted. And the old caretaking Federal government became the lumbering, bumbering agency of major social, economic, conservation changes. It was charged to build interstates, stop flooding, save the environment, put poor people in nice new homes. And for a period of time, all this new money and these new directions were accomplished by a real sense that we had the tiger by the tail. Out with the old, in with the new. Let science and our friendly Federal government save the world, irrigate the West, go to the moon, and stop the floods.

Because of this wholesale demolition, this "out with the old," the tide finally was stemmed in 1966 with the passage of the National Historic Preservation Act. This act established the National Register of Historic Places, the purpose of which was to survey and evaluate properties in each of the fifty states and the territories that have local, state, AND national significance. The act dealt with the need for preservation of the very fabric that represents America, not just the landmarks. The vernacular is as important as the high style. There now are about 60,000 listings on the National Register, which receive a modicum of protection from federally-funded projects. Section 106 of the act provided an innovative review process that authorized State Historic Preservation Officers to review federal projects on a state level, with the Advisory Council on Historic Preservation to provide oversight on a

national level. The act assured that each state and territory establish a Preservation Office; this probably has been the single most important impact on bringing the entire concept of historic preservation to the local level. These state offices were empowered to work with their own constituencies at state, county, and city grassroots levels.

Building on the National Register listing as the determining factor of significance, in 1986 the Internal Revenue Code was redefined to allow owners of historic commercial properties to take tax credits for rehabilitation. The intent is to provide incentives for historic preservation, despite the amendments of 1990 that reduced the allowable percentage of credits. This is a novel approach to historic preservation that has had far-reaching impacts in revitalizing America's cities; it has put once-abandoned buildings back on the tax rolls while maintaining the American ideal of property rights.

Europeans find it rather novel, too. In England, the government has the option to purchase a significant listed building and take care of it, or resell it back to a more sympathetic owner. Perhaps an aspect of this direction might be a next step in this country. For instance, a local preservation group might purchase—with owner consent—pivotal buildings, or buildings in historic districts, then rehabilitate, and resell. It has been often demonstrated both here and abroad that planting a seed in a declining neighborhood can and does encourage change in the form of preservation.

Yet another interesting aspect that has come out of the local empowerment preservation movement, is the development of certified local governments, where preservation is managed by city and county governments. By getting preservation back to the people, there has been a clear message that the federal government is not going to be

all and do all. It's individuals and communities that come together to make historic preservation an ethic. Marcella Sherfy also reflected on this most basic level of thinking by asking, "Why save grandma's quilt?" The quilt is an object that has specific meaning. There is a level of veneration. Grandma's very flat monument attests to her skills as a quilter in combining swatches of fabric and in expert stitchery. Maybe the fabrics have some particular significance by being unusual or even commonplace. It may evoke nostalgia; the tangible quilt brings back memories of good times as a child while at grandma's house. The quilt may also be a symbol of the past if it was purchased or acquired just because it was like the quilt that grandma had. In any event, the result is that, for whatever reason, the quilt is preserved as a link with the past.

That quilt, then, becomes integrated into a household's "country" or rustic interior decorating scheme. It is appreciated with other objects that also evoke a sense of history. It becomes a part of a greater whole. The obvious step in this analogy extends to the need to preserve individual buildings in neighborhoods and communities. Like grandma's quilt, a structure needs a context to define its historicity. Such a statement begins to legitimize us as Americans; it defines us as individuals and as a nation.

As the Nazis marched into Russia, they destroyed everything in their path that was Slavic. The environs around St. Petersburg were laid to waste. The specific orders were for the destruction of the Russian patrimony and hence the Russian soul. It was nearly successful, except the Russians began almost immediately after the war to recapture their heritage. Even in a Soviet regime, that patrimony was very important. The national feeling was incredibly strong and this ethic extended through the reconstruction of Tsarist palaces. This outpouring of

patrimony, in turn, sustained and developed a large cadre of craftsmen that are the marvel of world preservation efforts—and all in a country where most of the national gross product went into military prowess.

In Denver, a number of very significant late nineteenth and early twentieth-century commercial buildings have been removed. Many early cultural icons are gone like the Tabor Grand Opera House. The result is that Denver is left with a large portion of mediocre structures, some of which would not have been given second consideration. However, they now are important because they are all that are left. Denver is, by no means, an isolated case of such city growth in America where the depredations of urban renewal are tantamount to Nazi book burning. Selective thinning of books leaves only a few mediocre authors on the bookshelf with biased view points, and is like leaving only a few architectural remnants on the block. This scenario is an incomplete cultural story of who we are as Americans.

In conclusion, preserving our heritage assures our finite existence. We revere objects and structures of the past. We preserve them during our lifetime by giving them proper care and attention. That's why we are historic preservation professionals and owners of National Historic Landmarks—the "converted." We can augment that legacy by constructing an addition to a building or we might add an infill structure in the historic district in a compatible manner. Not all historic preservation is static. It is, however, a matter of respect for the past. This is the legacy that will be passed on to future generations—this is historic preservation. It is our chance at immortality. We have touched these buildings and we have had some influence over them; we have accomplished something, too. Because of our preservation efforts, structures and districts will thrive beyond us. We will have

helped sustain the built environment for the next generation. It will be theirs and, we hope, will serve them equally as well, as their touchstone with history. ❧



The Sears, Roebuck & Co. National Historic Landmark was the primary facility of the nation's largest mail order and merchandise concern. The Merchandise Building of the Mail Order Plant in Chicago, Illinois sent millions of orders across the country for more than 80 years, until it ceased operations in 1987.

Historic American Buildings Survey, Library of Congress, delineated by Kirsten A. Kingsley of Wiss, Janney, Elstner Associates, Inc., 1995.

PARTIAL EAST ELEVATION



WHAT IT MEANS TO BE A NATIONAL HISTORIC LANDMARK OWNER

Lysa Wegman-French

Lysa Wegman-French is a National Park Service historian who works with the National Historic Landmarks program, as well as the Historic American Buildings Survey and the Historic American Engineering Record. At the time of the conference, she was employed in the Rocky Mountain Regional Office; she now works for the Rocky Mountain System Support Office.



Today, I want to discuss your rights, responsibilities and benefits as an owner of a National Historic Landmark. A lot of the things that I'll talk about are myths or misconceptions that exist about what it means to be an owner. Now some of you have been owners for a long time, so through experience you have probably learned that these are, in fact, misconceptions. However, I want to review these, so everyone has the same foundation of understanding.

For your future reference, two sources will be useful. One is a copy of the very stimulating federal regulations concerning the National Historic Landmarks program (Title 36 *Code of Federal Regulations*, part 65). Those are the regulations that we legally are required to follow. Much of what they cover has to do with the designation process which, of course, you're past. However, it does address other aspects, for instance, it discusses giving you a plaque. Another publication is the pamphlet called "Common Questions and Answers." It provides more detail on what I'll be talking about today.

I'll address a number of points. First, I think that you understand very clearly, and it

was mentioned earlier, the National Historic Landmark (NHL) designation is primarily an honorific designation. It is an honor that the United States government, as represented by the Secretary of Interior, bestows on a property to say that it has been identified as being important to the nation's history. It is important to understand that it is primarily an honor, rather than a legal responsibility that we are laying upon you. Keep that in mind as an overriding concept.

Secondly, sometimes people think that if their property is designated an NHL, that suddenly this mysterious force will surround their NHL and it will never have any problems again. It will never need maintenance and it will never face development pressures and it will always have plenty of money and structures in the district can never be demolished, and that, somehow, the federal government will always protect it. Judging from your chuckles, I think that's a point that I don't have to make; you already know that this force field simply does not exist.

The third point I want to make is that listing a property on the NHL does not prohibit any actions on the part of the private property owner. So, if you want to totally change the facade of your house, you have the legal right and ability to do that, as far as the federal government is concerned. We don't *like* you to dramatically alter your property. But I want to make it clear that the federal government will not put you in jail or fine you or restrict you for doing that. You are not legally bound to do anything different than you normally do. However, if you do alter the property enough so that it loses its historic integrity, then it's likely that you will

lose that NHL designation—there is a cause and effect relationship. We don't force you to do, or not do, anything, but if you do damage the historic nature of your property, you have to face the consequences. Now, did you notice that I said private property? Because if, in fact there is federal involvement in any way in this altering—even if the NHL is not owned by a federal agency—then you open a whole other book full of regulations having to do with preservation in federal agencies. I'll discuss this a little more later, but I want you to be aware of this federal involvement aspect. Another aspect to be aware of is that even though there aren't federal laws regulating historic private property, there frequently are state or local laws that concern such properties. These state and local laws frequently have a lot more teeth in regulating the property. So you should become familiar with your state and local laws and ordinances concerning historic properties.

The fourth point ties into the third point, and it concerns maintaining the NHL property to Department of Interior standards. There are, in fact, standards for rehabilitation, standards for preservation, and so on. We'll learn more about those later. But again, as a private property owner, you are not legally required to follow those standards. We in the park service will be happy to advise you on actions that you may want to take, and help you plan your activities so they do meet the standards—but you are not legally bound to follow the standards or our recommendations. A few exceptions to keep in mind: the state and local laws may differ on this topic, so learn about them. Also, I already mentioned the federal government involvement. In addition, if your property is income producing, and you want to apply for tax credits, then, in fact, you do have to follow Department of Interior standards. I won't get into the details about this program right now,

but later Sayre Hutchison will have a whole session on tax credits.

Fifth, some owners are concerned that because it's a federal designation that the federal government is going to come in with a hostile takeover and want to acquire your property. I want to assure you that is definitely not the case. We mentioned earlier that there are about 2,000 NHLs nationally, and the park service couldn't afford to buy all of those, and we couldn't afford to keep running them. That's a very practical point to be considered. In addition, many, probably most, of those NHLs really would not be appropriate for a park service unit. The owner is not interested in selling it or donating it and so it really is a moot point. Now, we have alluded to a couple of situations this morning that I'll discuss. There are three places here in our Rocky Mountain Region where the National Park Service is, in fact, studying the possibility of acquiring three NHL's. In all three cases, the owner approached us and expressed an interest in park service acquisition. Those three NHLs are the Nicodemus Historic District in Kansas, the Virginia City Historic District in Montana, and one that actually is not quite yet an NHL. It's going through the designation process right now. That site is a Minuteman missile silo in South Dakota that's currently owned by the Air Force.

A sixth misconception I want to clarify is that some owners are afraid they will have to open their property to the public. They assume that because this is a government designation, that the property is important to the nation, that somehow the nation's going to come marching through their private residence. Obviously, that is simply not true.

My seventh point ties in with the sixth issue. When a landmark is designated, the owner does agree to allow representatives of the park service to visit the property occasionally. It is true that our staff members

do come to visit. Our office staff would like to visit more often than we actually do. Perhaps you more often see park service staff from a nearby park unit. They help us prepare the Section 8 Report, which we will discuss more later. Our purpose is two-fold. We like to see the condition of the property, but we also like to chat with you owners. We want to know what problems you're having, or what successes you've had, how we can help. It's always nice to make a friend face-to-face, rather than communicating through letters and phone calls.

The eighth matter involves the federal activities that I mentioned earlier. Since the majority of owners in the room probably will not run into this, I don't want to spend a lot of time on it—and if I did decide to talk about it, we would take the rest of today and all day tomorrow too. But simply put, if a federal agency funds an activity—or even just issues a permit for an activity—which will affect a historic property, then the agency is required to take that effect into account. While the law covers all National Register properties, there's wording in the regulations specific to NHLs. It says that the federal agency is to minimize the harm that it does to the NHLs. And just from that simple wording, you get a lot of paperwork, and a lot of people earn their living just doing that very thing. Now I'll give you some examples, because sometimes you may have some federal involvement which you don't even think about. For instance, a historic district which wants to build a new water and sewer district might have to get a license from the Army Corps of Engineers. That immediately kicks in that 106 compliance process. Construction of highways, demolition of dangerous bridges, construction of flood control levees, construction of utility lines and urban renewal projects are other examples where federal funds could be involved.

That covers the misconceptions I wanted to clarify. Now I want to discuss several benefits. One is that some funding sources will give a priority to properties which are NHLs, and some at least require that the property be eligible for the National Register which, obviously, the NHLs are. And we'll learn more about those funding sources in another session. Now I don't want to make it sound like there's a huge pot at the end of the rainbow that's just waiting for you—but there are some funding sources.

A second perk is the plaque that each landmark receives at no charge—and we'll even spell the NHL name correctly. These 25-pound bronze plaques are forged at a foundry, and are individually made. This is not a mass production effort. Yours' is the only plaque that has your NHL name and date of designation on it.

Thirdly, the park service does provide technical assistance to NHL owners. You could give us a telephone call for a simple question, or write us a letter with a more complicated question. We also provide published information—I think the NPS publications are very useful. You can request any of the titles in the *Catalog of Historic Preservation Publications*. Susan Escherich will discuss these later.

Fourth, NHLs are eligible for condition assessment reports. We will come to your NHL—or a local architecture and engineering firm will come for us—and do an in-depth analysis of the physical condition of your NHL. If you go to a funding source—say your city council, or your board—you need to give them some hard facts. That's precisely what that condition assessment report does. It explains exactly what's wrong with the property; in what order the problems should be addressed; and what it will cost. Condition assessment reports are quite valuable. Tom Keohan will discuss them more later.

My fifth and last point goes back to my original point about this being an honorific designation. When we were introducing ourselves this morning, and you owners described your NHLs, I could hear the pride in each person's voice. It really touched me that you are so committed to these sites. These NHLs are the source of your pride. By being an NHL owner, you know that you're taking your place among the elite of our nation's resources. ♀

THE SECTION 8 REPORT TO CONGRESS ON DAMAGED AND THREATENED NATIONAL HISTORIC LANDMARKS: THE WASHINGTON VIEW

Susan M. Escherich

Susan M. Escherich is a Historian with the Heritage Preservation Services Program of the National Park Service. Having worked with the National Park Service since 1991, she was recently appointed coordinator of the National Historic Landmark Initiative. In this role, Escherich compiles the annual report to Congress on the status of Damaged and Threatened National Historic Landmarks and provides technical assistance to NHL owners.



Before I talk about the Section 8 Report, I first want to talk about what we do in the Washington office besides give birth to and kill off National Historic Landmarks, which is the province of the History Division. They nominate them and they dedesignate them. But, in the interim, the Preservation Assistance Division helps to nurture them.

The Preservation Assistance Division (PAD), which I represent, puts out a lot of useful information. PAD develops the Secretary of the Interior's Standards to guide people in preserving, maintaining and rehabilitating historic buildings. We continually try to make those standards more accessible to people. We have publications such as *The Secretary of the Interior Standards for the Treatment of Historic Properties*, which explains the four preservation approaches, which Chris Jones will discuss later. For those who are doing rehabilitation for tax credits, we have, short and sweet, the official standards for rehabilitation that need to be followed. We have a whole series—which is now up to

37—of *Preservation Briefs* on various topics. *Preservation Brief 32: Making Historic Properties Accessible* discusses the new Americans with Disabilities Act, though the act affects historic properties, you don't necessarily have to knock a hole in the wall and put in a new ramp. *Mothballing Historic Buildings, The Preservation and Repair of Historic Clay Tile Roofs, and Applied Decoration for Historic Interiors: Preserving Composition Ornament* are three other *Preservation Briefs* titles. The gentleman in the back asked me about raised ornament on the tops of the walls. It could be plaster, it could be composition. This publication's on "compo", an interesting substance which was used very frequently. There's a brochure on *The Preservation and Repair of Stained and Leaded Glass*. And we have many more which are listed in this *Catalog of Historic Preservation Publications*. We also have one entitled *Keeping It Clean: Removing Dirt, Paint, Stains, and Graffiti from Historic Exterior Masonry*, this is a topic which is very important to most of you. How do you get those walls clean and how clean should they be? And how can you clean them without destroying them? Somebody asked about help for Native American sites. We have this huge chart which lists programs that assist Native American sites—not only National Park Service programs, but those of the whole federal government.

The National Park Service also puts on a lot of training programs. One of them is coming up in the fall—funded by the Cultural Resources Training Initiative—which has to do with teaching Black Americans how to record their own history, what it means to

them and how to get them involved. We have a training session coming up on historic windows, we have one coming up on historic masonry. All of these are open to you. You can get in touch with your regional NPS office and find out what's available. We also put out a directory of training across the country. The courses listed are both privately presented and put on by federal agencies. They range all the way from how to point historic mortar, to how to plan, and how to deal with historic resources in a district. And, in fact, the Cultural Resources Training Initiative is funding the printing of the proceedings of this conference.

On to the Section 8 Report. This is a report that NPS prepares every year for Congress. We have to do this because of Section 8 of the General Authorities Act of 1970. That's why the report has that obscure name. We in Washington compile the information that is sent us by the regional offices, which in turn they get from you—Chris Whitacre will go into that shortly. We put out a draft of what we intend to say and we send it back out so we can get comments on what we've written. We get additional information and rework it. And, eventually, we reach a resolution of what we're going to send forward for the Secretary of the Interior's signature. The Secretary signs since the report does go to Congress.

The purpose of this report is to alert Congress to landmarks which may be in trouble. If a National Historic Landmark (NHL) either has extensive damage right now, or it's very sure that something serious is going to happen, then it's listed as a Priority One. If the danger is not so imminent, but it's fairly possible, like erosion, we might list it as a Priority Two. But the vast majority, fortunately, are Priority Threes, which means that they're in pretty good shape. I love being here today because a lot of you have NHLs that I've never heard of

before because they're not in any trouble or, at least, not in enough trouble to be listed in this report. Normally, I never get to see the good ones. I only see the ones that are having trouble.

I haven't quite finished going through all the data for this year (1994), but I thought that I would tell you a little bit about the process—you probably wonder why it takes so long to produce the report. The five regional NPS offices send me the material in May. I rework it throughout the summer, then send it back for comments. I get those back in September. I analyze the data so that we can have some understanding of the magnitude of varied problems, the kinds of threats there are to landmarks; then we can start using this data for planning purposes. What kinds of actions do we need to take to try to help? We put together our draft. It starts working its way through the Department of Interior for signatures. It goes through the different bureaus, such as the Bureau of Land Management and the Bureau of Reclamation. They all get a crack at what we said about them. It's interesting, some of the bureaus really hate being listed, they feel it reflects on them and their caretaking. Meanwhile, some bureaus really want to be listed because they feel that they can take this to Congress and can say, "We need more money because we can't possibly take care of these resources with what we've got." You are able to use the report in the same way. You can say, "I am the owner of this NHL and it's listed in the report for deterioration and can you help us get some funds, Mr. Congressman or Ms. State Legislator?" Often, that's effective.

As of September 1994, there were 2,132 NHLs in the country. [In January 1996 there were 2,170 NHLs.] Of these, 6.6% were Priority One last year. That's fairly typical for the last several years, since 1988. I don't know what happened in '88, but it jumped

from 4% that were Priority One to between 6 and 7 for the last few years. (It may have been a function of the reporting method used.) Last year, 11% nationwide were Priority Two, with potential endangerment. Together, 17.6% of all National Historic Landmarks were endangered in some degree or another. Now the interesting thing—and the reason it's really great we're having this conference here today—is that of the Priority One Landmarks nationwide, fully 40% were wholly owned by private, nonprofit groups, such as private individuals or nonprofit universities. Only 9% were wholly owned by federal agencies, 9% wholly owned by states, 4% by tribes, 7% by local governments. Thirty-one percent were multiple ownership, which usually means a historic district which has a large number of private buildings within it. So, obviously, reaching out to the private owners is one of the most important things we can do. Of last year's Priority Ones, 26% were individual buildings, 23% were sites (usually archaeological sites), and 42% were historic districts.

Threats fall into seven basic categories. By far, the great majority of landmarks are threatened by deterioration and usually that's from lack of funding, as you well know. Sometimes it's by lack of concern. Inappropriate repairs, alterations or new construction are a major problem; last year this accounted for 36% of the threatened landmarks. We put out extensive guidance on how to do these appropriately; you can rehab buildings for new uses, but there are ways to do them so that you don't destroy the integrity of the building. The Rocky Mountain Regional Office and all the other regional offices are willing to help work with you. Demolition is another problem. The *USS Hornet*, the aircraft carrier that picked up the Apollo spacecraft, has just been sold for scrap. So soon we'll have to dedesignate that NHL. The Sears complex in Chicago is being redeveloped for housing and they're

going to knock down the mail order building which is one of the major components of that landmark. There's not a thing we can do about it. This is a problem. Erosion is a problem with 16% of the endangered NHLs. It's caused by wind and water but also cattle and humans, both walking and with ATVs. The Oregon Trail tracks are listed as Priority One this year because of people walking on them and wearing them down. Then there are extraordinary events like the flood of last year, which we know all too well; and earthquakes and fire, which cause problems; and now superfund cleanups are becoming a problem. Leadville, Colorado is a superfund site where you've got two agencies that aren't talking to each other. One has one mission and the other has another mission. A reconciliation that supports both missions needs to be worked out. Vandalism is a problem on 9% of the threatened landmarks; they are usually archeological sites, but sometimes they are other kinds of properties. The *USS Cabot*, a ship down in New Orleans, has had souvenir hunters coming in and taking things out of her, so there's not too much left. In the report, we also try to highlight the ones that have done a good job, showing how some of these owners do achieve success. The Kit Carson County Carousel is in this section of the '93 report.

Let's look at the Rocky Mountain region for 1994. Of your 391 landmarks, you have 42 Priority Ones, which is 11%; 97 Priority Two's, which is 25%; and the vast majority, fortunately, are Threes. Of the Priority Ones in the Rocky Mountain region, 33% represent private ownership, 43% are multiple owners in historic districts, 2% are federal. The federal government owns a lot of land, but I'm talking about individual landmarks; a huge district may be one landmark. Also, the federal government often owns part of an NHL that has multiple owners, so that would be listed under multiple ownership. States own 12%, local governments .07%. I tried to

put the threats in a pie chart but it wouldn't work because many landmarks have more than one threat. This year, of the Priority Ones, 41% are listed for deterioration. Incompatible uses are also at 41%. That's often an education problem; not lack of funds, but lack of education. Damaging uses, which can be activities such as deep plowing on an archaeological site or ripping out the insides of buildings to put in gambling — 18%. Erosion — 14%; vandalism — 7%; fire and lightning — 7%. We have one ship that sank in the Mississippi River.

That basically wraps up the threats that are facing landmarks this year in the Rocky Mountain region. Are there any questions?

Question: How about organizing a coalition to make members of Congress aware of those NHLs that are Priority One. Have coalition members from all the different states work together to come up with a special law that applies to Priority Ones, some kind of funding system.

Response: Well, that's an interesting thought. And, actually, a congressman from Colorado wrote to the *Denver Post* recently saying something along that line. However, there's a lot of opposition to having funding delegated specially for National Historic Landmarks because some people feel that would make people ignore places that are just on the National Register of Historic Places. I don't know how we work that out. Now Christine Whitacre will tell you how the region deals with their part of the report. ♀

THE SECTION 8 REPORT TO CONGRESS ON DAMAGED AND THREATENED NATIONAL HISTORIC LANDMARKS: THE REGIONAL OFFICE VIEW

Christine Whitacre

Christine Whitacre is a National Park Service historian with the Rocky Mountain System Support Office; at the time of the conference, she was employed in the Rocky Mountain Regional Office. Whitacre works with the National Historic Landmarks program, as well as the Historic American Buildings Survey and the Historic American Engineering Record.



Susan has given you an overview of the intent and purpose of the Section 8 Report. I'm going to be talking about how we collect that information, and how we create the "paper trail" regarding the assessment of the condition of your National Historic Landmark (NHL).

Let me begin by briefly describing who we are and what we do. I am a historian in what is now called the Heritage Partnerships Division of the Rocky Mountain Regional Office of the National Park Service. In our office, which is located in Denver, we work with what used to be called the "external programs" of the National Park Service. Basically, this means that we are involved with the identification and preservation of cultural resources that are located outside of the National Park Service boundaries. Sometimes that distinction gets a little fuzzy because some of our NHLs are located within the National Parks but, in general, we work with historic buildings and sites that are outside of NPS ownership.

The Rocky Mountain Regional Office is responsible for the external programs in a sixteen-state area. Currently our office has

three historians, three architects, and two archaeologists, as well as a number of support staff. In addition to National Historic Landmarks, our responsibilities include the Tax Act, National Register, Historic Preservation Fund, and Certified Local Government programs. We also are involved with the Historic American Buildings Survey, and the American Engineering Record (HABS/HAER). Through the HABS/HAER programs, teams of architects, historians, and photographers create archival-quality, permanent records of historic buildings and sites, many of which are National Historic Landmarks. The final documentation is transmitted to the Library of Congress. We are involved in HABS/HAER projects in two ways. Sometimes our staff directs or works on these documentation projects directly, such as in the case of the St. Genevieve NHL.

More typically, however, we review the HABS/HAER documentation that other agencies are required to complete prior to the demolition and/or modification of historic sites, such as in the recent case of the Sears Mail Order Plant NHL in Chicago.

As part of our work with the NHL program, we also provide assistance to NHL owners. We prepare new nominations for NHLs in our sixteen-state region. For example, currently we are working on a new NHL nomination of a Cold War-era Minuteman missile site in South Dakota. We also revise existing nominations that are deficient in some way. We are currently reworking the nomination for the Wagon Bed Springs NHL in Kansas. In the case of Wagon Bed Springs, the NHL boundaries

were very unclear, which was a source of great contention locally.

And, of course, we write the Section 8 Report for those 400 NHLs that are located within our 16-state region. Ideally, as part of the Section 8 Report information-gathering process, we would like to make a field visit to each NHL, which also would give us an opportunity to meet with you and provide on-site assistance. However, with about 400 NHLs in our region, we are simply unable to do so, particularly on an annual basis. We just do not have the time, budget, or staffing to allow us to do that. In general, we are able to visit only a very small percentage of NHLs in any given year.

As a result, our primary source of information regarding NHLs is you, the property owner or manager. This is why, every year — sometime around mid-February — you can expect to receive a letter from us asking you to fill out a "Status Report Form" on your Landmark, so that we can compile information for the Section 8 Report. Basically, we ask you to give us an assessment of your property. There are three primary categories of assessment: Priority One, Two, or Three. A Priority One means that the building or site is in *imminent* danger. Are the bulldozers at the door? Is the site suffering from severe deterioration and erosion, which might cause it to be lost? Furthermore, for a Priority One designation, it must be shown that there are either no or inadequate protective strategies being utilized to preserve the Landmark's integrity.

Priority Two status indicates that there is *potentially* serious damage or threat, but the danger is not critical yet. Landmarks in this category are those that exhibit potentially serious damage or which in the future may be seriously threatened, but the endangerment itself is not sufficiently critical at the present time to warrant Priority One status. Priority Three status indicates that the Landmark is

not endangered, and that there is little or no threat to its integrity. Basically, Priority Three means that everything is O.K. Most NHLs fall within the Priority Three category.

As part of this information-gathering process, we try to give you as much information as we think you may need to make this assessment. If we know that there has been a change in ownership in the last year, we will send the new owner a copy of the NHL nomination for that property. And, hopefully, all of the long-time owners and managers have received copies of nominations from us in the past. The nomination basically includes a statement of significance as to why the property was listed as an NHL. It includes a history. It includes a description of the property, at least how it looked at the time it was designated. And it includes boundaries and a map. The boundaries are very often a critical issue, because as many of you know, property lines and NHL boundaries often don't match. For example, a ranch may include an archeological site that is a National Historic Landmark, but the archeological site may only be a very small portion of the ranch land. Landmark boundaries often also include several owners. In places such as the Cripple Creek and Telluride National Historic Landmark Districts, there are hundreds of property owners within the same district boundaries. Besides contacting you and asking for this information, we also contact other agencies and/or groups that have information on NHLs. We contact State Historic Preservation Offices (SHPO) and ask them to also fill out NHL Status Report Forms. National Historic Landmarks are automatically listed on the National Register of Historic Places. As the keepers of National Register information in each state, the SHPOs are inherently involved with NHLs. SHPOs also are knowledgeable about NHLs as a result of their preservation

activities in the state. We also ask staff members from various National Park Service units to fill out NHL Status Report Forms. For example, we ask the superintendent at Glacier National Park to provide us with information on NHLs in northern Montana. In the same way, we ask the superintendent at Mesa Verde to give us information on properties in the southwestern part of Colorado. It is possible that either the SHPO or a member of the National Park Service may call or visit you as part of this assessment. We also ask that they coordinate with each other so that you are not inundated with too many phone calls and visits. We may also contact other federal agencies and local preservation groups regarding the status of National Historic Landmarks.

It may seem somewhat excessive to be gathering information from at least three different sources for the Section 8 Report but, in general, we have found this to be effective. Of primary importance is your input, because it is your property. As Susan explained, the final Section 8 Report goes to Congress, and that report may have a direct impact on your property. As a result, we feel that it is critical that we get your viewpoint as to what the problem is, the seriousness of the problem, and how we can assist you. In general, about 50 to 60% of NHL owners in our region return the forms, which is a very high percentage. We believe that this high percentage of returns also shows how seriously NHL owners accept the stewardship of their historic sites.

In our office in Denver, we compile all of the information that we receive from the Status Report Forms, and use that as the basis of the regional Section 8 Report. We transmit our draft report to the National Park Service office in Washington, D.C., where it is combined with the other regional reports and finalized. The Secretary of the Interior then submits the final report to Congress.

I would like to stress that we see this as more than just a "paper exercise," and we hope that you see it in that light also. The Status Report Forms accomplish more than just helping us prepare the Section 8 Report. They provide us with a means of helping you. Sometimes the reports identify a problem that can be readily solved by our staff in Denver. For example, the archeological site reports are reviewed by our staff archaeologists, who can offer technical advice and assistance. In the same way, our architectural staff reviews the Status Report Forms on NHLs that are suffering from structural problems. We often follow up the report reviews with phone calls and site visits to NHL owners.

Although we are mandated by Congress to report on the NHLs, we are not mandated in the way that we prepare the Section 8 Report. Since the National Park Service is undergoing a reorganization, the Section 8 information-gathering methods that we have used in the past may change. In the future, as part of the federal reorganization, there will be a greater number of National Park Service offices, each of them working with a smaller number of states. This should result in the National Park Service having more direct contact with NHL owners. Hopefully, we will have more than a yearly Section 8 "pen-pal" relationship with NHL owners, and will be able to offer more personal and direct assistance.

We also would like feedback from you on our Section 8 activities. Are we contacting you too much? Are we giving you enough information? Would you like to hear from us every other year? Do you want more on-site visits? Please let us know.

Also, you don't need to wait for the once-a-year request from us to tell us what your difficulties are with you NHL. We are here all year round. We would very much like to be able to participate in helping preserve your historic structure. Actually, the

concept for this conference was the result of the Section 8 Report. The Section 8 Status Report Forms that we received in Denver made it clear that NHL owners wanted more educational and networking opportunities. We got a clear message that there was a desire for a preservation forum like this.

In closing, I want to say that we are just delighted to meet you. We have corresponded with so many of you for so long that we are very happy to have the opportunity to finally meet you in person. Thank you for coming. Does anyone have any questions about the Section 8 process?

Question: How do you handle situations where different people give you conflicting information on the same NHL?

Response: That's a primary reason why we like to try to get more than one viewpoint. For example, we may have a situation where a property owner rates the NHL as a Priority Three, while a State Historic Preservation Officer says that it's a Priority One. Sometime the reverse happens. In those cases, we always follow up with phone calls or site visits. Often, this situation occurs because one of the reviewing agencies doesn't have complete information on the status of the NHL. Also, different people sometimes perceive the same situation differently. Ultimately, our office has to make the final determination of the priority status. Our determination has to follow the NPS Section 8 guidelines, and be consistent with other determinations of status. If we decide to give a priority status rating that is vastly different than the one recommended, we will always contact the respondent and discuss our reasons for making that determination.

Question: Did anyone try to write a bill to have some kind of funding available for Priority One NHLs? I think there have been some references to that.

Response: This is the first NHL conference of this type, where regional NHL owners have come together in a preservation forum. Your suggestion is an excellent one, and perhaps may be the kind of direction that this group would want to take. In the past, NHL owners rarely had the opportunity to meet each other and network. This kind of networking activity may result in the activity that you are suggesting. A few years back, I believe, a small group of NHL owners got together and considered forming such an alliance. Considering the good turnout that we have here, I think there may now be an even greater interest in that.

Question: Doesn't the National Park Service provide money to NHL owners?

Response: Each year, State Historic Preservation Offices receive federal money to be used for preservation activities in their states; this money comes through a grant program administered by the National Park Service. Unfortunately, however, there is not that much money earmarked specifically for direct assistance to property owners. Most of the money gets channeled into salaries, survey and National Register activities, and community planning work. However, the situation varies from state to state. For example, in Colorado, as a result of the gaming initiative, there is great deal of state money available for historic preservation activities.

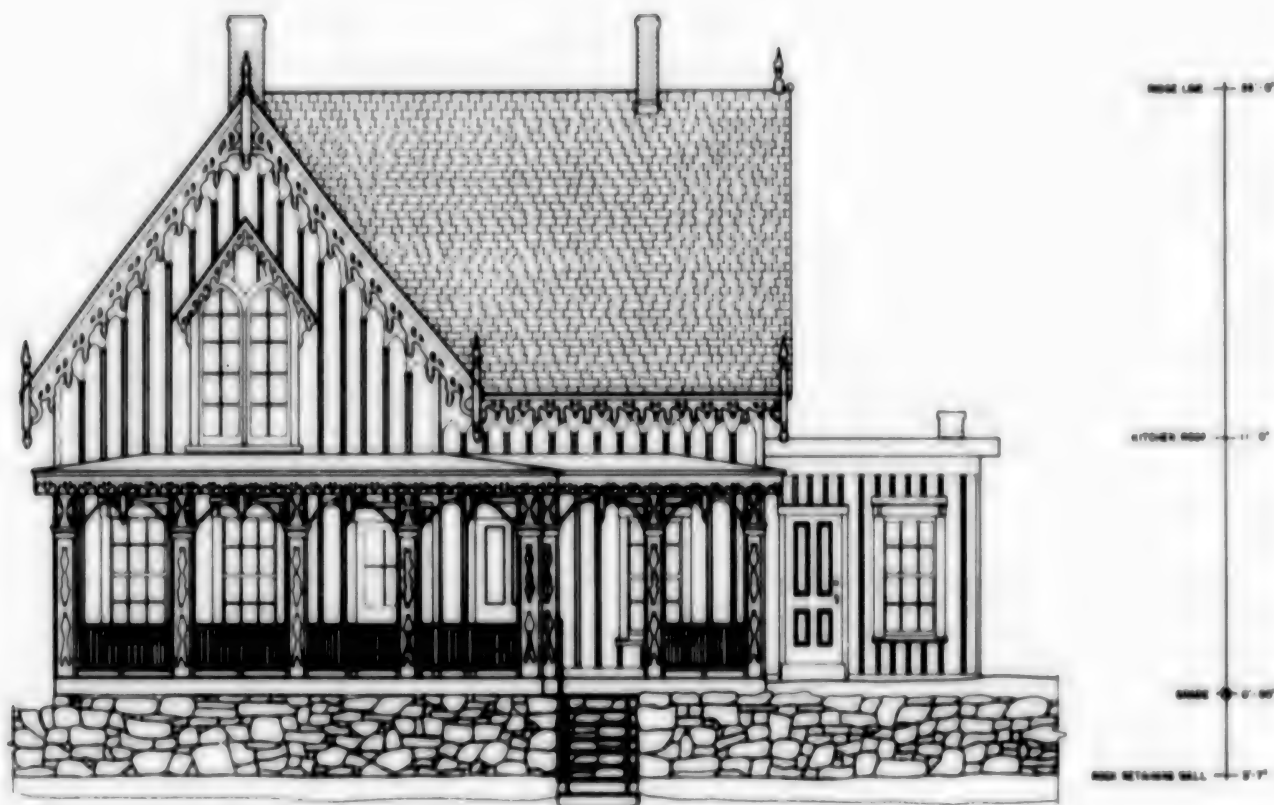
Question: At what point does a threat make a landmark a Priority One? If it's a gradual kind of thing, if you get development pressures, new construction, or you get a number of poorly done rehabs or inappropriate uses, how do you know when it should be a Priority One? In other words, how do you know when

you've crossed the line between Priority One and Priority Two?

Response: Unfortunately, there is no set formula. Each case is evaluated on an individual basis, depending on the structure or site, how it is being impacted, how extensive those impacts are, etc. Districts are particularly difficult to assess. Just how much of an impact is too much? If you find yourself in a situation like that, where you are having a hard time determining that assessment, we would be very happy to work with you in that determination. ☺

Considered one of Colorado's premier examples of Carpenter Gothic architecture, the Lace House is one of the few structures remaining from the 1860s in Black Hawk. The Central City-Black Hawk National Historic Landmark was the heart of the first great mining boom in the state.

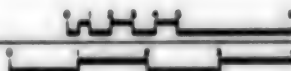
Historic American Buildings Survey, Library of Congress, Mira D. Metzinger, delineator, 1990.



NORTHEAST ELEVATION

REST 3/8" = 1'-0"

METERS 1:50



A NATIONAL HISTORIC LANDMARK CASE STUDY: THE PHILADELPHIA TOBOGGAN COMPANY CAROUSEL NUMBER 6

Jo Downey

Jo Downey is active in the Kit Carson County Carousel Association, in the Burlington, Colorado area. The nonprofit volunteer organization has been remarkably successful in restoring the carousel, and in inspiring pride in the magnificent structure.



I'm going to talk about the history of the project, and try to stay away from my favorite subject—which is carousel history in general.

The Kit Carson County Carousel is located at the fairgrounds in Burlington, Colorado. Kit Carson County has a total county population of about 7,800. It is located on I-70 and borders Kansas. It's 150 miles from the nearest metro area. Burlington, the town that the carousel is actually located just outside of, has 3,100 people. That is the largest town between the Kansas border and Denver. So we're working with a rather small population. The carousel was carved in 1905 in Philadelphia for Elitch's, which is the premiere amusement park here in Denver. The carousel was there until 1928. It's a stationary carousel; it does not go up and down. Consequently, Elitch's wanted a new fangled model so, in 1928 they sold the carousel—including the monster military band organ—to the Kit Carson County Commissioners for \$1,250; they sent it out by train. The county built the twelve-sided building for it, constructing it out of leftover chicken sheds and lumber that was laying on the fairgrounds. They installed the carousel and it's been there ever since. Because of the \$1,250 expenditure in 1928—an extravagant amount of money for the time—the county commissioners did not run again for office.

However, if the current board of county commissioners decided to *sell* that carousel, they would also not run for office.

The carousel was operated during the county fair the first full week in August for two years. In the 1930s, the depression hit and on the great plains of the United States, the drought also hit. Consequently, the county fair was eliminated and the carousel was used for storage of government-purchased hay for cattle and other animals in the area. The hay was packed to the ceiling. It was packed in and around the turntable and in and around the animals. Rodents got in, snakes got in, and the carousel was in deplorable condition when, in 1937, the county fair reopened. At that time, it was discovered that the tubing for the bellows-driven band organ was so deteriorated that the organ could no longer operate. The story goes that there was some sentiment that the easiest way to clean up the whole mess was to just put a match to the carousel and burn it down. However, consensus prevailed that there needed to be something for the kids in this isolated, rural area, so the carousel was "scooped out," scrubbed down with soap and water, and started up. It continued to be run (without band organ music) annually for the county fair without mechanical incident or major breakdown.

In 1976, Colorado was 100 years old and, of course, it was the bicentennial of our country. The Colorado legislature offered each county \$5,000—no strings attached—to do something to commemorate the centennial/bicentennial. Well, Kit Carson County has six small communities: Burlington is our large one, with a population

of about 3,000, the others are around 650, and we have two that have fewer than 100 persons. It didn't make much sense to take the \$5,000 and try to do something in somebody's park to commemorate Kit Carson, who I think slept all over the west—everything is named after him. So, it was decided to use the \$5,000 to restore the band organ so it once again would play with slotted music rolls. And that's what started the restoration and, eventually, the national recognition of this very wonderful carousel.

We've been doing this for a long time. Now, keep in mind our size. The carousel is owned by the county. We change boards of county commissioners every four years. Sometimes we change every two years if the guy didn't do what we liked. Our nonprofit association has no staff. We're simply all volunteers. But, admittedly, we have different expertise in the work that we do for paid living. We employ six college students in the summer—because now that we've spent all this money and brought it back to its original splendor, we operate it as a museum, in the summer from 1 to 8 pm, every day from Memorial Day to Labor Day. We run it as a ride on the hour and half hour. The ride lasts four minutes and it goes fifteen miles per hour, so we want you to hang on. And then we do a tour for about twenty minutes. We walk around, we look at the wonderful carvings of the animals. We talk about carousels, we talk about endangered species, we get people really excited. We charge 25 cents.

Some of our funding agencies—we're good friends with foundations—suggested that we increase our fee. They thought, "You poor people out there in that rural area, don't you know that with 25 - 30,000 visitors a year, if you charged a dollar, you'd have more money?" Well, we know that, but we charge 25 cents and we have a donation box and people pay 25 cents, then they stick five

dollars in the donation box because they say "Gee, 25 cents isn't very much." That's the charm of this—we want you to enjoy it, we want you to remember what it was like. So, we are not going to raise our prices. Also, we have a lot of unpurchased national publicity that talks about our 25 cents, so it's very important that we maintain that.

We've spent over a million dollars on the carousel, restoring it a couple of times, doing a mechanical rehabilitation, doing all our promotional material. We raise money a lot of different ways. The county gives us some support. There's \$2,000 a year in state lottery money, because we built this lovely park around the carousel. We also get \$6,000 a year Colorado general fund money, which we just started getting in the last three or four years. I think they were embarrassed that they only gave us \$2,000 a year. We raise the rest of it. We go to foundations for major projects. We sell things. But everything we sell concerns this carousel and this carousel only. There's a lot of generic carousel material out there: carousel music boxes, some nice stuff. But we don't touch it if it's not of our carousel. So we develop our own products. Usually we develop our products without front ending them by having some company develop it. We allow them to sell the product in some other part of the U.S., as long as we have exclusive distribution in our area. We sell pins. We mark everything up 100%, sometimes 150%, sometimes 300%. It depends on the mood we're in. We do a different t-shirt each year and it always says National Historic Landmark on it. It also has the date on it. We pick a different animal each year. I pooh-poohed t-shirts. I thought, ack, that's degrading to such a wonderful national landmark as this carousel. I went to a carousel conference in Burlington, North Carolina and they said, "It's the best fund raiser we have; you're crazy if you don't do t-shirts." So we came home and started doing

t-shirts. We do a limited edition of a leaded glass animal every year. We produce 250 of these, dated and numbered. We got our first set sold, we're now selling animal #9. Those customers are always going to buy the next one because you threaten them that if they don't, you're going to sell it to somebody else. We do well with coloring books. We do a limited edition print series. We are currently developing our third cookbook. The cookbook, instead of having insert pages that say pies and cakes with pictures of pies and cakes, it has insert pages that say pies but has a picture of a carousel animal and then there are historic recipes from everyone. This time, we're including verbiage about different recipe contributors' first reactions to this carousel. We have mailed requests for recipes to all of the National Carousel Association members—we just hosted the National Carousel Conference. We are looking at doing a special edition embossed print series. Again, it would be specific to this carousel. Selling the printer's plates themselves is another fund raising mechanism. Miniature carousel animals are our most expensive item and we have five different ones. These sell for \$160. We never negotiate the price of this. We actually break even with our operating expenses in the summer, operating in our rural area at 25 cents a head, but we make a profit through the sale of our items.

We are blessed in Colorado because we have access to grants for historic preservation projects, the funds originating from the gaming tax. We must leverage this money. In our early years, we tried national foundations and didn't have any success, but we haven't needed to go to national foundations in recent years. We have two particular Colorado foundations—they have become our friends—and we know that every four or five years, we can go back to them for funding a major project, and they will assist us.

Another thing that we may do a little differently: the only plaque we have displayed at the carousel is our National Historic Landmark plaque; we do not have a single engraved plaque commending anyone for giving us money. We make the assumption that it might have been as great a sacrifice for the lady who gave us ten dollars and was 92 and a pensioner, as it was for the foundation that gave us \$35,000. We almost had to turn money down from some local people. A family wanted to give a flagpole, but they wanted it dedicated in memory of their mother; we simply said, "We'd love to have the flag pole, we want to be able to fly the flag, but we do not do plaques." They donated the flag pole.

We have done an adopt-an-animal program, where people have sponsored the restoration of an animal. We did as much recognition for the donors as we could in the newspapers. We had a reception for the donors, sent them wonderful original adoption certificates, we repeatedly recognize them, we keep them updated, but there is not a plaque at the carousel for them.

The carousel is wonderful. There are 46 animals, we have a dog, we have three giraffes, we have three camels. Ninety percent of the paint on the bodies is original 1905 paint. The Kit Carson County Carousel is the only original-paint carousel in the United States. The carousel also has the original paint on the scenery panels. The panels, themselves, (they encompass and thus hide the inner machinery room) are artistically significant. We have done a museum quality restoration. We did \$140,000 worth of touch-up work two years ago on our original 1980-1981 restoration. I think if you'll look through the booklet I gave you, you will have an appreciation and understanding of what the animals look like. There is a small photo of the zebra while he was being cleaned. Our oil paintings looked worse than that. They

were yellowed and tarnished over the years and were torn.

I must tell you one thing in closing, I looked through our workshop manual this morning, and that will be invaluable to us. But there was a page on the America the Beautiful Fund. One of our first approaches for grant money was to the America the Beautiful Fund. In 1976, we had found \$500 to pay an art consultant to tell us what we should do with our oil paintings. We were ignorant, we didn't know what we had so we asked this art consultant to tell us. So, we mentioned in our grant proposal that we had hired a consultant who told us what we should do with these oils. The America the Beautiful Fund wrote back and said if we had enough money to hire an art consultant we obviously didn't need any grant money.

One of our next projects is to set up an endowment fund. Another project is to take our building back to all wood. We covered the building with steel siding before we ever got started in restoration—to stop the deterioration. Our concern at that time wasn't restoration. We just didn't want our oil paintings to get any wetter. So we slapped up some nice textured siding that looks like lumber—ha ha—it looks like steel siding on the building. We are trying to find an imitation wood shingle, because of fire danger. We want a fire suppression system, because one of the more significant carousels in America was lost to fire in Rochester, New York a few months ago. We need a system that can stand severe changes in temperature. We are researching the cost and types of systems right now. And we are talking to NPS people. Thank you.

Epilogue: In August 1995 the association received notice of a grant award of \$67,000 (from the Colorado Historical Society Preservation Grant Program) for chariot restoration and a fire suppression system. 🐾

NATIONAL PARK SERVICE: ACTIVITIES AND AIDS TO NATIONAL HISTORIC LANDMARKS

Tom Keohan

Tom Keohan has worked with the Denver office of the National Park Service for eleven years as a historical architect/landscape architect. He has also worked for the National Trust for Historic Preservation.



Good Morning. This morning we are going to start out with a set of three sessions. Each of these sessions will tell you about one of the key agencies that works with historic preservation. In this first session we wanted to present to you some information about how the National Park Service can be of assistance. Primarily, when we talk about assistance to National Historic Landmark (NHL) owners, we are talking about technical assistance—building conservation assistance—and also some planning assistance.

I see four areas in which the park service can provide assistance to National Historic Landmark owners. The first being in the technical assistance area. As the largest preservation agency, the National Park Service maintains a professionally trained and experienced technical staff. In fact, in the Rocky Mountain Regional Office, we have five historical architects, in both the external and internal programs. If we can't solve a building conservation issue, we know the people to talk with to solve an problem.

We have a program called Condition Assessment in which the National Park Service sponsors a building inspection. Many of you are familiar with Condition Assessment Reports. Our office has organized forty or fifty of those reports. They are in-depth inspections of National

Historic Landmark buildings and properties. The report assists the NHL owner in understanding the condition of the property. It is a computer-generated report that looks at 208 different building elements. We go through the building very carefully and look at every detail to determine what the condition is. Next, we identify what repair and maintenance needs to be done. We then prioritize those needs. This is quite helpful to the owner because they know which project to start first. We also include cost estimates for repair needs. These estimates are summarized on a cost summary page—a data page that lists the cost for making the repairs. This is useful in soliciting funds to help with repair of the property.

After we do a Condition Assessment Report we sometimes publish a Landmarks at Risk bulletin. These publications provide a synopsis of the repair needs of the building, based on the information in the Condition Assessment Report. Here is an example—this is one we did for Fair Park in Texas. It summarizes the work needs and puts a cost to those needs. These bulletins come in a couple of different formats—for instance, we did a smaller one for the Mineyard in Butte, Montana.

We do some other things too, along these same lines. We have found that the Condition Assessment Reports are so detailed and so specific that sometimes it's overwhelming for property owners when they get this information. So we also do what we call Mini Condition Assessment Reports; these are condition-specific reports that contain in-depth research on a particular building conservation issue or problem. We have done a number of those. We did one at

the administration building at Elephant Butte Dam in New Mexico. We looked at some particular issues with that building and generated some repair recommendations for the property owner. We do publish that information, which is again a synopsis of the more formal report. At Fair Park, we also took a look at some very large sculptures along the esplanade, and recommended specific conservation techniques for these sculptures.

I'll tell you about the project at Fair Park, as an example of what we do. Fair Park is one of the only remaining Centennial Fairgrounds left in the United States, and is owned by the City of Dallas. It was done in a Deco style in the 1930s. The site contains the largest collection of public art in the state. There are some serious technical issues that the property owner was unable to address, and didn't have the funds to do so. For example, there are cast stone structures with a lot of internal problems such as cracking. The owner didn't really know how to tackle these problems. Typically, the NHL owners have not been responsible for funding this type of technical assistance. How did we invite funding? We applied for a grant from the Meadows Foundation to complete this in-depth study of thirteen buildings at Fair Park. We received \$30,000 dollars from the foundation to do this work. The National Park Service applied for that grant and also managed that grant, which gave us the extra ability to provide that assistance to the property owner. We generated several Condition Assessment Reports.

A second way in which we are able to aid you is answering technical questions, either over the phone or in writing. Our historical architects are available to discuss your building conservation issues. We provide a lot of technical assistance over the phone. If there is a particular problem that needs a

more in-depth study, we can get back to you in writing.

We also provide technical assistance with studies such as New Area Studies and Design Guidelines. The New Area Studies, or Special Resource Studies, are conducted by the National Park Service to study management and ownership alternatives or to consider including the property as an NPS site. We are currently completing one at Virginia City, Montana, and we're working on one for Minuteman missile sites. We have also done some design guidelines to help NHL districts look at infill, reconstruction, and facade rehabilitation. A few years ago we did an interpretive plan for Deadwood, South Dakota—this is an example of technical assistance that we provide in the planning arena.

A third area of assistance is training. Through our National Park Service Cultural Resources Training Initiative, we have the ability to provide training for NHL owners. One example is this conference that we are attending today. There are other areas in which we could provide some assistance. We would like to hear from you about your specific needs.

The fourth area that I identified is documentation. The National Park Service administers a program called the Historic American Buildings Survey and the Historic American Engineering Record. Those are both documentation programs that generate as-built archival drawings, written histories and descriptions, and archival photographs of historic structures. Maybe I should explain the background of the Historic American Buildings Survey. HABS started in 1933 as a New Deal program. It was conceived by Charles Peterson, a landscape architect with the National Park Service; he saw it as a way to put unemployed architects, designers, and draftsmen to work during the depression. HABS was the country's first effort at

systematically documenting historic structures. It was so popular and so successful that it has continued to this day. Its sister program, the Historic American Engineering Record, began in 1969; this program looks at engineering structures with an emphasis on the engineering process. The HABS/HAER program has documented about 22,000 structures. The drawings, histories, descriptions and photographs are useful to researchers, scholars, writers, architects and many others. This large collection is stored at the Library of Congress in Washington, D.C.

The Park Service has identified National Historic Landmarks as a priority for documentation under HABS/HAER. Our office has been involved with producing that type of documentation for NHL owners since about 1985. We started with a project in Sainte Genevieve, Missouri. We documented about thirteen buildings there, and created 65 sheets of archival drawings. Those drawings have been extremely useful—particularly to the property owners of those buildings that suffered damage in the recent flood. That kind of documentation is expensive for us to produce. We typically try to look for outside funding to help us with that.

I guess the final area is what I'm calling "what do you want?" We'd like to hear from you, get some input from you, in terms of your specific needs. If you can give some feedback to us, that would be helpful in focusing our energies and providing assistance to you. Those can be anything from specific building conservation needs to more of a larger comprehensive planning need, particularly if you're involved with the historic districts in larger areas.

Question: Are architects available to come out to the sites?

Response: We do that. Despite limited travel dollars these days, we do, particularly on emergency-type situations. During the

flooding in the Midwest this past year, the National Park Service did respond to some of those NHL owners. We've become quite adept over the last couple of years at tackling and answering questions and providing assistance over the phone. If you're able to send us information about what you're looking at, or if you had specific areas that you need technical assistance in, oftentimes we can provide that over the phone.

Question: Suppose we have a historic house, an old house, that we wanted to restore in its original condition that at some time could become an NHL. Would you come out to that building?

Response: We have to set priorities with our travel and time. Our office focuses on nationally significant properties, primarily NHLs. We do travel to NHL sites. If your property isn't nationally significant, we suggest you talk with your State Historic Preservation Office instead of our office.

Question: What's the relationship between the National Park Service and the State Historic Preservation Offices, and to whom should we be going first for advice? I'm pretty unclear who tells us what to do and who approves what is to be done.

Response: The NPS distributes funds to each SHPO to operate preservation programs. A SHPO is located in each state, oftentimes associated with the State Historical Society - many of you know who your SHPOs are and probably have worked with them over the years. The NPS and the SHPOs work very closely together in a number of areas. We jointly administer some preservation programs with them, the Tax Act Program, for example. Concerning NHLs, the SHPOs are very familiar with the landmarks in their states. The SHPOs have historical

architects in their office that we work with, and they are the ones you should contact first because they can respond a little more quickly than we can in terms of technical assistance. They also do a lot of traveling within their states and they're more likely to make a visit to your site than we might because of our limitations. We work in 16 states, and that office has one state that they're concerned with.

Question: What's the difference between a Condition Assessment Report and a Historic Structures Report?

Response: They're similar. The Condition Assessment Reports were developed by the NPS specifically for National Historic Landmark buildings. It's a computer-generated report that provides the type of information we feel is most useful to you as a property owner. The Historic Structures Report is done for NPS-owned structures. It also looks at all the necessary repair elements. The focus is just a little bit different: it looks at more of the history as well as the building conservation issues. It's a little more comprehensive. The Condition Assessment Report is very specific: what are the repair needs of this building and what are the costs associated with those repair needs? So you have some substantial information with which to make decisions about priorities and also can be used to find funds to make those repairs.

Question: What are you using for your cost generation?

Response: Generally, there are two things we use in generating costs for repairs. We use "Means"—for those of you not in the construction industry, this is a national cost estimator that also has an adjustment for geographic locations. We have found that it's an accurate way to assess costs associated with repair. We also use our

personal experience. We sometimes contract that work out to preservation architects, particularly if they are familiar with the type of structures, and if they're in the area of the structure. 

STATE HISTORIC PRESERVATION OFFICES: ILLINOIS

Steve Thompson

Steve Thompson, Resource Protection Manager with the Illinois Historic Preservation Office, has a Master's degree in Historical Administration. He has experience in museums, and has published numerous articles, primarily on military history.



Good morning, I'm glad to see that you all made it, and the Denver nightlife didn't adversely affect you. It looks like you're bright-eyed and bushy-tailed.

What Jim Hartmann and I are going to try to accomplish here this morning is give you the basic foundation of how the State Historic Preservation Offices work throughout the region, and nationwide also. Our programs, in some ways, are similar although there is some diversification in the programs that do exist. I'll give you the low-down on what's happening in Illinois, and Jim can give you some insight from his view.

The SHPOs go under a variety of different names; you may know it as a historical commission or historical society in your state. We're called the Preservation Services Division in Illinois. We really don't care what you call us; we're just there to help you out.

On our staff—which is pretty representative—we have sixteen professional people who administer essentially four different programs: review and compliance, National Register of Historic Places, certified local governments, and grants. We also have a support staff of six clericals. They are a godsend; if it wasn't for them, we'd never get anything done around there. Sometimes I think they're more valuable for getting

historic preservation issues wrapped up than the professionals are. I do review and compliance work. I primarily review projects that the state government is involved in, to be sure that they are following laws concerning historic properties. The review and compliance workload has been increasing dramatically over the past couple of years, so I've been picking up the "106" reviews, too, which concern federal preservation laws. That's where my contacts come in with your properties in some instances.

We share a common philosophy with the other SHPOs, and with anybody involved in historic preservation. The SHPOs are the primary governmental advocates within the states. We are the main contact for historic property owners, and the middleman between the owners and the National Park Service, as Tom Keohan pointed out. In a lot of instances, we are your primary contact; we can get out there and take a look at your site easier than the park service can, since they work out of four offices within the contiguous U.S. We try to approach our dealings with the public in an education/awareness mode, making the general public aware of these properties, whether they be registered properties or landmarks or just eligible properties. We try to get interested parties within communities to support your properties. We try to find funding sources. We try to link people who want to do a project in their communities and may not know how to get it done. So awareness is big on our list.

We also provide guidance—both technical guidance and administrative guidance—for the management of properties. The property managers and the owners sometimes walk into a property not fully

aware—and I suspect some of you did this, too, when you acquired your property. You just knew it was a historic property and didn't know what this entailed, or who you could talk to for support. That's why the park service is conducting this meeting, and we try to conduct similar seminars in our state, too.

I want to touch on the National Historic Landmarks within our state. There are approximately 70 NHLs in Illinois right now, and these range from prehistoric sites to architectural districts. Some of you may be familiar with Cahokia Mounds, an archeological site that dates to A.D. 800; it's both an NHL and a World Heritage Site. On the other end of the time scale, we have the *U-505*, the captured World War II German submarine, housed at the Museum of Science and Industry in Chicago. In between these, we have all kinds of things—houses like you own, sites like you own. We see them all in one form or another throughout the year. It's part of our responsibility to check on them.

One of the things that is somewhat different in Illinois than it is with a lot of the other states is that almost 40% of the historic sites are publicly owned. That's what I end up dealing with—the regulatory public review process that takes place on government-owned property.

I'll touch briefly on the programs and assistance that Illinois has, for which the SHPO is the primary informer to the public. A lot of them are park service or federal government assistance programs; some of these will be covered later on this afternoon so I won't go into detail on them. The tax credit program for rehabilitation of historic properties is one—our technical staff reviews those applications; we certify those properties. After the application runs through our office it goes to the park service. We conduct an average of about twenty of those a year.

The state itself has a tax assessment freeze program which is structurally similar to the federal tax credit program. It is an eight-year freeze on the assessment on your historic property if you conduct a rehabilitation project on that property. After that eight-year period, the assessed value is gradually brought back up to the current market value over a period of four years. The property has to be an owner-occupied residence. It has to be either a National Register property, an NHL, or a certified local landmark through a Certified Local Government (CLG) community. There are almost thirty communities benefitting from this program in the State of Illinois right now.

The Historic Preservation Fund comes annually from the feds to the states to support preservation programs—it's a minimal amount of money, but it does help out the CLGs, who are the targets. And, it can help you in a lot of different areas as far as education, preengineering, and awareness.

I won't go into all the Housing and Urban Development (HUD) programs that exist that eventually get back to historic properties. But one state program that I will touch on is available through the Illinois Department of Commerce and Community Affairs: it is a tourism grant program. They are primarily concerned with putting bodies in beds—this is how they explained it to me. They want to get people out there to the sites. Great. How do I get in this program? Historic properties are not targeted in this program, but properties can be awarded a grant to go through a rehabilitation. This is a \$40,000 per annum grant. I've got two or three sites where you can be sure that July 1 of every year, they're applying for another grant, another \$40,000. There's talk in the legislature about a bill increasing that amount to \$100,000, which would really be beneficial to some of the communities. So, if you do have a property that would help promote

tourism, you should check with the similar organization within your state and see what kind of programs they have.

Tom Keohan touched on some of the things that the NPS does concerning technical assistance. What we do is similar. On staff, we have two historical architects who review 106 projects, the state law projects, the tax projects, and they do a lot of consulting with property owners like you. They go out and do seminars. Every year in June we have a statewide seminar that we do in conjunction with the Landmarks Preservation Council of Illinois, an advocacy group based out of Chicago. Various subjects are presented at the statewide preservation conference. Seminars are presented on historic preservation issues, whether these be legal issues or technical issues. Our architects give presentations on technical aspects which have been prevalent during the past year. They revolve around everything from windows to the American Disabilities Act (ADA)—whatever seems to be a hot topic at that time throughout the state. It's sort of like this conference; primarily private individuals come, not many governmental agencies. We also conduct special seminars that are issue-generated. Once again, they are developed by our technical staff. Some of the subject matter that has taken place over the past few years are ADA and masonry issues. Lead paint abatement is real big now, especially with steel windows in Chicago and other places throughout the state. A lot of our light industrial buildings have lead paint on those windows that have to meet the standards. Without going into too much detail, the cost to abate that paint, to rehab those windows, is almost prohibitive. The Secretary of the Interior's Standards are also discussed. We try to get out to present to everyone involved in preservation—owners, property managers, contractors alike—so they know exactly what's involved before they go off half-cocked planning a project. They know what

they have to deal with concerning the preservation of their buildings. We are developing some new seminars. The topics will include additions to historic buildings and windows, again; windows are just eating us up right now as far as mitigation goes. So we're trying to develop some seminars that are more sympathetic to the property owners on what can be done within the Secretary's standards. Mike Jackson and I just did a seminar for all the state prison engineers about masonry. They had prisoners out there fixing sandstone and limestone prisons with Portland cement. I showed up and just about went through major trauma over the spalling that had taken place because of their techniques. We target the audience and provide them with information they need. But a lot of these tracks will apply to you also.

Now, along with this, we continuously upgrade a historic consultants list within the state. I am sure that your states also have a similar list. This lists people who have experience in historic preservation work. It's not a recommended list as we really can't recommend anybody, but we can put a list out there and say, "Hey, these are people who have done projects." This covers architects, engineers, planners, facilitators of the tax credits, contractors who do Historic American Buildings Survey and Historic American Engineering Record (HABS/HAER) projects. Getting buildings recorded is becoming real prevalent in our state now. We are requiring agencies to do a lot of HABS/HAER; it has gotten so intense, we've had to work on developing our own program. Not all the people on the list are in Illinois—Minnesota, Iowa, and Missouri also are listed on here. So if you're close to Illinois, feel free to pick up one of these lists.

Within the technical end of it, too, we consult with property owners like you on projected projects. If you have a plan for

your property, or if you need to develop a plan, or you decide that you're going to do some work and you need some advice, feel free to contact your State Historic Preservation Office. You'll probably deal with either the SHPO's planners or architects. Ask them for an appointment and go in to explain what you want to do. We do a lot of things over the phone, but if you come and talk to them, bring your documentation with you, as much intelligence on the structures as you can: photographs, data, the history of the project, Condition Assessment Reports, whatever you can. They will be happy to meet with you, and it's your tax dollars at work, gang. This is their responsibility.

We also have to turn in an annual report on NHLs to NPS out here in the Rocky Mountain office. We deal with a lot of the NHLs on a daily basis. The Illinois and Michigan Canal is just a constant project for me; we know what's going on out there. But some of the individual houses that are listed in Chicago, I find myself driving through gang-infested areas at 10 o'clock at night, trying to find some house to see if it is still there. We check them out every year, and we try to give the best assessment we can. Sometimes it's difficult finding the owners of the properties and consulting with them, but at least we'll make a drive-by. So, that's pretty much it from the technical end of it.

We have a publications program that parallels what the park service is doing. We try to make the *Tech Notes* and *Preservation Briefs* that NPS publishes available for everyone. These publications give you the experts' angle on what the problem may be, whether it's stucco, windows, or whatever. If you're working with a local architect or contractor and he or she doesn't have much historic preservation experience, you may want to put one of these publications in front of him and say, "Hey, will you take a look at this and tell me if you can do things like this

so I can meet the standards and I can get my tax credit?"

We also have the *Illinois Preservation Series*, which we publish annually. I think it has been going on for about the past fifteen years, and two-thirds of them have been technical in nature. Sometimes we use it to republish the National Register listing or provide the background of preservation services, explaining exactly what we do. *Historic Illinois* is a general newsletter that's going over to a slicker magazine type of publication. This is primarily for the general public and not so much for the property owners. It deals with National Register and NHL properties. There are articles on NHLs in there, and this helps with tourism. It also updates recent projects on these properties. If you've had a tax project or there's been a 106 project on them, we try to put that in as a sidebar, too, to let the people know what's going on. We have a calendar every year; it's really a promotional tool for *Historic Illinois* as well as for the historic properties. Photographers submit pictures to us, and a selection committee chooses the photographs every year. Our Certified Local Government (CLG) section publishes *The Commissioner*. It's targeted primarily for people involved with CLG commissions and the people that work with them within the communities. In addition to discussing properties and technical issues, it is probably the most legal thing that we publish. We do it so people know exactly what's going on, and what is affecting them, concerning historic preservation federal and state law—we cover anything that is running through the legislature.

We have a strategic planning initiative that helps us with future program development. We sit down a couple of times a year and brainstorm to figure out exactly where we want to go with the programs. Something we're trying to develop is preservation planning seminars for individual

properties. For these, you would bring all the factors together, your condition assessments, structure reports, the market you want to touch, what you actually want to do with that property. You start at Point A and figure out how you're going to get to Point Z.

The State Historic Preservation Office covers a wide variety of disciplines. We have historians, archeologists, and architectural historians; we have lawyers, planners and accountants. And they are actually working for you. I'm certain if you'd talk to your people in Helena or Santa Fe or wherever, you would find that these offices have a wide variety of disciplines and can help you. Most of these people could be making more money out in private industry; on a whole, I've found them to be dedicated public servants. They have more of an opportunity to actually influence grass roots historic preservation issues working in an office like this, or actually being involved with the management of the properties. And they enjoy that. That's personally what I enjoy. I can go out there and give my two cents' worth and actually conserve these properties. In some instances in private companies you wouldn't be able to do that. Use them. That's your tax dollars. If you're not familiar with them, find out who they are. Use them as a link. They are close. They can give you more advice probably than the park service because they should know their properties. Like I said, the best recommendation I can give you is to get acquainted with the SHPO. Go find out who those people are and talk to them. If somebody there ticked you off sometime back, they may be gone. Go find out who's there now. The SHPOs are there to help you. You, as property owners, have made a commitment to preserve these properties. And, those people are there to help you. Use them. And use the park service, too. Now I'll entertain some questions.

Question: Would you describe the process for approval in your state that the owner has to go through to, say, put a new roof on a structure? What are the procedures that they have to go through before they can start that work?

Response: If you're a private owner and you're doing this on your own, nothing is going to preclude you from going out there and doing what you want to do to your property. There's no state review unless there's some kind of state or federal involvement. Now, there may be some local preservation ordinance that requires review. That level depends on the community. But if you're a private property owner and even if your property's on the National Register or is a National Historic Landmark, nothing is going to preclude you from doing what you want. You might find yourself in one of those situations where the state or the NPS thinks your actions are endangering your property. Maybe you're planning on replacing a slate roof with asphalt shingles. The SHPO may counsel you, advise you; we do this all the time. When we know things like that are going on which may adversely affect the building, we will write the owners and say, "Please talk to us."

Question: What does a government agency have to do if it wants to alter their historic property?

Response: The federal government has no choice. The agencies either meet the Secretary of the Interior's Standards for Rehabilitation or mitigate the effect. This also applies to state-owned properties in Illinois; some of the states don't have a state law to cover the state agencies. A high percentage of the historic properties in Illinois are owned by the state government; that's why this law was developed. You should check with your

state office to see if there is a preservation law. But generally, unless you're asking for some kind of federal rehabilitation funds or you need a federal permit—Environmental Protection Agency permits, or Army Corps of Engineers permits—you need not go through a review process. So if you own big sites, make sure that whoever you have handling environmental aspects for you runs down all the environmental factors, and that includes the 106 process concerning historic preservation, and the statewide process. 🍀

El Santuario de Chimayo NHL in Santa Fe County New Mexico is an excellent example of a small adobe church, notable for its original decorations.

Historic American Buildings Survey, Library of Congress, James M. Slack, photographer, 1934.



STATE HISTORIC PRESERVATION OFFICES: COLORADO

James Hartmann

James Hartmann is the State Historic Preservation Officer for Colorado and the president of the Colorado State Historical Society.



First off, welcome. I just want to mention that preservation offices differ from state to state. The various states run their preservation programs within different departments. The departments indicate how the state looks at preservation, what it means to them. I want to name a few of them to give you a sense of the scope; you'll find you can get different kinds of information from them indicated just by the titles. For example, there's the Department of Commerce. What kind of a preservation program do you think might be running out of the Department of Commerce? Or Department of State? Or Recreation? Or Cultural Affairs? Or Natural Resources? Or Education and Humanities? Or Economic and Community Development? Or Environmental Protection and Energy? Or Finance and Administration? Or Development of Community Affairs? Or Education and the Arts? The names tell you right there.

You need to realize that even though you're here to get help, you have certain assets within a given state. And, the question here is, "How do you partner up?" Who do you find? What do you become a part of? For example, tourism—many of you are in the tourism business. But, you're also probably in the education business. You probably have kids coming, you have adults coming to learn a little something. Some of you may be located along scenic and historic byways. Some may be along historic trails. Some of you may be Main Street or part of

Main Street programs. You all ought to be involved with the Chamber of Commerce. Certified local governments—if you happen to be a town, it would be good to become one; you get this status through the State Historic Preservation Office. How about ecosystem management? Do you ever think about how you might be a part of an ecosystem, contributing something to the ecosystem? But ecosystems contribute something back and forth, don't they? So, you have to figure out what is the relationship here. Or, watershed management? Are you a part of your state or local 20/20 visioning that's so popular today? Are you in there, putting your foot in there so that they understand what your role is while you're understanding what their role is? How about landscape preservation? That's something kind of new. Are you part of the landscape? Are you part of the traditional pattern here? How about cultural ethnic events? Do you play a role? Are you a backdrop? Are you a place where people come to celebrate? Does your community television station follow what you do? Are you making sure they know what you're doing so the people of your community know what you're doing? Are the colleges and universities involved in some way? Do they have interns? You're worth learning about; people can learn from you—students, young people. Do you give awards? Do you get awards? Don't you think that 4% of National Register properties—4% of the total of the country—deserves some kind of recognition in that way? Because that's how much the National Landmarks represent. They're pretty rare. Are you part of the folklore programs in your state? Do you have a poster out there with your landmark on it? How about a calendar? Do you have a calendar with your landmark

on it so people can turn and see it from season to season? Have you looked in the telephone book? How are you listed in the telephone book? How do people know where you are? Are you in the yellow pages? Are you in the white pages? Are you nowhere in the telephone book? How about your promotional literature? What does your city or town think of you? Go read it, just like you would as a visitor. Go into your town sometime and ask "Where would I find out about me?" And make a few calls. Call your Chamber of Commerce office and say, "I'd like to know if you have any historical places that I could visit someday." Those kinds of things help you learn how you're perceived, and how you want to be perceived; then you bring them together.

One last thing. The National Conference of Preservation Officers produces a directory of preservation programs, and you might want to go through one of these and see where you stand. I want to tell you about the Utah program. It's just a very brief description, but I really like it. It says here that they have a task force: the Governor's Strategic Initiatives. Maybe what you ought to do is go back to your state and say, "I want a governor's initiative." The task force will work to empower the people of Utah to develop an identity and build for the future through an appreciation of the state's diverse heritage. The goal is to inculcate history and history-related programs, projects, events, and activities into the fabric of Utah, and into all its many communities. The strategies are action oriented and include development and preservation, education and interpretation, heritage partnerships, business and history partnerships, and communication and promotion.

You've got to get involved. Partnering is what it's all about. Handouts and money are sort of dried up. But involvement, participation, asking but giving are all a part

of what is going to make preservation of National Historic Landmarks really work. 

NATIONAL TRUST FOR HISTORIC PRESERVATION

Barbara Pahl

Barbara Pahl has been the Director of the Mountain/Plains Regional Office of the National Trust for Historic Preservation since 1991. She began with the Trust in 1984, serving as Assistant Regional Director. Prior to that, Ms. Pahl worked for five years at the Colorado Historical Society where she was Chief of the Division of Survey and Evaluation, and later served as Curator of Material Culture. From 1977 to 1979, Ms. Pahl worked for the National Register of Historic Places.



The National Trust is a national nonprofit preservation organization; we have seven regional offices around the country. Our office in Denver provides preservation assistance to Montana, Wyoming, Colorado, Oklahoma, Kansas, Nebraska, and North and South Dakota. Many of you are here from states that are served by our regional office in Denver. Our office in Chicago serves Wisconsin, Minnesota, Iowa and five other Midwestern states. Our Western Regional Office in San Francisco serves Arizona, Utah, and the western part of the country. There are also offices in Boston, Philadelphia, Charleston, South Carolina and Fort Worth, Texas. Regional offices of the National Trust each serve seven to ten states with a staff of five—four professionals and one support staff person. The core work of regional office staff is to provide assistance to people working on preservation projects in their states and in their communities.

Congress chartered the National Trust in 1949 to provide leadership to our nation's efforts to preserve our significant cultural heritage. Recently, the Trust adopted a mission statement which is "to foster an

appreciation of the diverse character and meaning of our American cultural heritage and to preserve and revitalize the livability of our communities by leading the nation in saving America's historic environments."

This mission statement answers the "why preserve" question at the heart of what we all do. Saving our country's historic buildings and sites enhances community livability. The work you do to protect and take care of our national landmarks is very important and we think of the Trust as one of your partners to get the job done.

The National Trust is not the federal government. The National Trust is our nation's only national historic preservation organization and as such, we lead private and nonprofit efforts to preserve our nation's cultural heritage. Compare this to, for instance, the environmental movement where you have many national organizations working to preserve natural areas such as the Wilderness Society, the Nature Conservancy, the Audubon Society and the Sierra Club. There is only one national, nonprofit preservation organization.

Our federal partner, the National Park Service, works primarily through State Historic Preservation Offices, who, in turn, work with local governments who are part of the Certified Local Government Program or CLGs. CLGs are communities who have enacted preservation ordinances to protect their town's historic character.

Since the Trust is not government, we do not accomplish preservation through designation or regulation. We work with our partners at the state and local levels to encourage preservation by providing information, education, and technical and financial assistance.

Most states have a statewide nonprofit preservation organization. In the Mountains/Plains Region, all but one state has a statewide preservation organization. Four of these—the Historic South Dakota Foundation, Preservation Oklahoma, Colorado Preservation, Inc. and the Nebraska Preservation Council—have full or part-time staff. The Landmarks Preservation Council of Illinois is a strong state group as is the Michigan Historic Preservation Network and the Utah Heritage Foundation, to name just a few. There are many strong local preservation organizations. Historic Denver Inc. is one of the largest of these around the country with a membership of 1,200.

Trust President Richard Moe has said, "The success of the National Trust will not be counted in the number of buildings we save, but in the numbers of organizations we help to create and strengthen." Towards this end, the Trust has several initiatives and programs designed to support and strengthen the preservation movement in this country. The programs and initiatives include the Statewide Initiative and Statewide Partners Program, the Community Organization Effectiveness Program (COEP), and Preservation Leadership Training.

The Statewide Initiative provides technical assistance and challenge grants to help statewide preservation organizations hire on full-time staff. The Statewide Partners Program provides more advanced technical assistance and training to staffed statewide preservation groups.

The Community Organization Effectiveness Program provides training for strategic planning for preservation groups. Organizations that have had a Trust-facilitated COEP believe it has made them more effective by helping them focus their efforts and by attaining greater success with limited resources available.

Preservation Leadership Training, or PLT, is geared towards individual community or state preservation leaders active either in their nonprofit organization, or as members of their local preservation commission. PLT is an intensive week-long experience, spent in the classroom during the day and working on a team project at night, to hone their preservation leadership skills. PLTs are given in different parts of the country twice a year. For more information, write our Washington, D.C. address or call 1-800-944-NTHP.

Building and strengthening the nonprofit side of preservation is important so that it can effectively play what is, perhaps, its strongest role, that of advocate. Advocacy is something nonprofits can actively engage in that government cannot.

As a strong advocate for preservation, the National Trust pursues state and national public policy that is sympathetic to preservation, and actively works with state and local groups to help them save historic places important to their communities.

Because of their importance to the history of the nation, National Trust regional offices often devote countless hours to the fight to save National Historic Landmarks. In fact, I often feel like we are the National Trust for Historic Landmarks because of the amount of time we spend trying to help save landmarks.

We spent ten years working with concerned citizens in Sheridan, Wyoming on plans and strategies to save the Sheridan Inn. In Nicodemus, Kansas, we have been helping the town achieve National Historic Site status. The Trust's Midwest Office provided flood relief to Ste. Genevieve, Missouri during the summer of 1993.

Over the five years we have spent trying to save Virginia City, Montana, we conducted a community survey which told us that 98% of people living in that town agreed

that the town's historic character should be saved. We provided money for a National Forest Service-led stabilization workshop that secured and repaired four critical historic buildings. And, we advocated with Congress and with the Montana Legislature for state and federal funding to help purchase and stabilize the site.

What kind of assistance do we provide? The National Trust has a \$30 million budget; \$7 million of that comes from the federal government, from the same appropriation that funds the State Historic Preservation Offices. Approximately \$2.2 million of our federal appropriation funds the outreach and assistance provided by our seven regional offices. This assistance includes information, on-site consultation on specific preservation issues, and help with organizing and strengthening state and local preservation organizations.

We also provide financial assistance. Our loan program provides low-interest money for the acquisition and development of historic properties and for the creation of revolving loan funds. Our Preservation Services Fund Program provides small, matching grants to nonprofits and local governments to hire consultants to conduct feasibility or architectural and engineering studies for specific buildings or for conferences and workshops.

Our Information Series nicely complements the technical briefs produced by the National Park Service. National Trust publications tell you how to organize a local preservation group, how to get an ordinance passed, how to deal with the American Disabilities Act, how to deal with your building code officials, or how to put on a walking tour or a house tour. For more information about National Trust publications or for requesting order forms, contact your regional office or call 1-800-944-NTHP.

Recently, the National Trust went "on line" with Preserve Link, our preservation computer bulletin board. We call it PLINK. If you have a modem and a computer, consider conversing regularly with your colleagues around the country, on Preserve Link. For more information about PLINK, call or write your regional office or call the Trust 800 number.

The National Trust is a membership organization. The cost for an individual is \$15 for the first year, \$20 for renewing members. With that, you get a copy of *Historic Preservation Magazine*, published six times per year. For \$90 per year, you can be a Forum member and receive a quarterly journal covering timely preservation issues of the day and *Forum News*, a bimonthly newsletter with regular announcements of grants, funding cycles, conferences and workshops and a roundup of what's happening in preservation at the state and local level.

The Trust has several kinds of awareness programs that could help you raise interest and support for the preservation work you are trying to do with your National Historic Landmark. Every June, we announce our list of the 11 Most Endangered Sites to heighten awareness among the general population about preservation issues in different parts of the country. Over the years, we have been getting increased coverage on these sites. Ste. Genevieve was on the list in 1993. Virginia City, Montana was on the list for an unprecedented three years. If the NHL you own or manage is threatened, consider nominating your property to be included on the list. You can submit nominations directly to our national office in Washington, D.C. or work with your regional office.

Each year, we publish our annual list of preservation "Bests and Worst." This list provides you with an opportunity to bring attention to a success or challenge your NHL.

is facing. This list is put together every fall and is published in early January. If you are interested, contact your regional office.

The National Trust has an annual honor awards program. Jim Hartmann recommended that you seek awards as a way to achieve greater awareness about your site. Each year, the Trust presents National Preservation Honors Awards to individuals, architectural firms, state and local governments and organizations for their work in preserving some of our nation's most important historic places.

One of our most powerful tools for advocating preservation is our Legal Defense Fund. In Cripple Creek, Colorado we became co-plaintiff in a case involving the illegal approval of a demolition permit for three contributing structures within the National Landmark district. A casino owner in town wanted to build a 96,000-square-foot parking lot on the site. Trust attorneys litigate many cases that involve historic preservation and can be contacted directly by writing the Trust at our headquarters address: 1785 Massachusetts Avenue, NW, Washington, D.C.

Other National Trust programs you should be aware of are our Main Street and Heritage Tourism Programs. Since 1980, the National Main Street Center has helped hundreds of small towns across the country revitalize their downtowns through a four-point approach—organization, design, promotion, and economic restructuring. Many states have active Main Street programs including Texas, Oklahoma, New Mexico, Kansas, Iowa, and more recently, Nebraska.

Heritage Tourism encourages people to invest in historic places as a means to attract visitors to the area. Recent visitor data collected by the Travel Industry of America has found that more and more Americans name visiting historic sites as a reason for

planning a trip or vacation. Investing in our historic communities, and in particular our National Historic Landmarks, pays off in increased tourism dollars for our communities. Importantly, it also puts renewed emphasis on the need to interpret the history associated with the historic places we save to our citizens and our visitors.

Historic places and attractions are getting the attention of the tourism industry so I think you will find you have allies and partners in your state travel offices and in your local convention and visitors bureaus. For more information about how to initiate a heritage tourism effort in your community, I would recommend purchasing a copy of *Getting Started: How to Succeed in Heritage Tourism*. It is available for \$25 from the National Trust. For more information about the National Trust's Main Street or Heritage Tourism Program, write our headquarters office at 1785 Massachusetts Avenue, NW, Washington, D.C. 20036 or call 1-800-944-NTHP.

Finally, I want to make sure you know about one of my favorite programs, Barn Again! This program was created by the Denver office to encourage farmers to reuse their historic farm buildings for ongoing agricultural uses, as opposed to demolishing them and replacing them with aluminum butler buildings. Through the Barn Again! program, we provide farmers with technical information about cost-saving techniques for barn maintenance and reuse. Barn Again! information and publications can be obtained from the Mountains/Plains Regional Office in Denver by writing us at 910 16th Street, Suite 1100, Denver, Colorado 80202 or by calling (303) 623-1504.

These are the kinds of things that the National Trust does. We don't designate; we don't regulate. We do develop demonstration projects to find ways to preserve buildings, cultural landscapes and

whole communities. We do advocate for their preservation, either before Congress, state legislatures, or local city councils, to help pass ordinances or provide incentives to help you protect the important historic places you own or manage. We strengthen preservation organizations around the country and we train preservation leaders. We are your partner as you are ours. Together, we will succeed in passing down to future generations the historic legacy that is ours. 🏛️

PROPERTY INSPECTION AND MAINTENANCE: HOW TO IDENTIFY PROBLEMS BEFORE THEY BECOME CRISES

Merrill Ann Wilson

Merrill Ann Wilson, AIA, is an historical architect in private practice (32351 Horseshoe Drive, Evergreen, CO 80439, 303/674-1377, FAX 303/670-9190). Previously, she was the state historical architect for Colorado and a project historical architect for the National Park Service. Her presentation at the conference was based on about seventy slides; since this edited paper does not include these slides, it naturally will not reflect the full range of information presented at the conference.



This session is about maintenance. The information will be pretty basic; I think it has to be because we are trying to *prevent* major problems: major problems to fund, major problems to fix. For example, if you had an adobe building, but didn't fix the roof, enough water could get in and penetrate the adobe walls that the adobe walls could turn to mud. This actually happened to a building I inspected; the whole structure collapsed.

Proper maintenance is a major issue in taking care of your property. One method that I recommend to everyone is based on inspections performed on a regular basis. Do this quarterly or at least twice a year—so you're monitoring conditions. Look at all the parts of the building, all the systems, and visually evaluate the condition of those parts. Then identify what needs to be done. One way to do this is to start at the top and work down, or use another method—just so you catch everything. You can create an inspection sheet—it doesn't have to be complicated. On this sheet you might note that you need to replace some roofing,

rebuild the chimney, do some tuck pointing on the masonry, renail wood trim, etc.

What this talk is really about is diagnosing the pathologies—or “diseases”—that exist in a structure. When I was in graduate school, our professor said you can put almost all of building maintenance down to one cause of problems: water. Water as snow; water as ice; water as moisture or condensation; water as rain; water standing, running, driven. *Keep the water off the building, keep the water away from the building, keep the water out of the building.* So, the first part of my talk is going to be focusing on the problems that water causes and how to solve them. I'll discuss the overall building drainage system, which consists of 1) roofing, 2) gutters and downspouts, and 3) site drainage. We will focus on these three areas to prevent deterioration.

The roof is the first place you start. If there's nothing else you do to your building, make sure it has a good roof. I don't care what else happens; the roof comes first. Make sure that roof is not leaking. Look at the whole roof system. Roofing is not just shingles; roofing is flashing, too. The flashing is terribly important.

You may need a professional roofer to help you inspect a roof. It's not something that is easily done by a property owner. Your first clue is: are you getting any leaking inside the building? If you have an enclosed attic space, go up there. The best time is during a heavy rainstorm or on a warm day after a wet snowfall. Get up in the attic, and look for locations where water is getting through.

I'm diverting a little bit here on roofing to talk about appropriate roofing. Many of you may own buildings that do not have their original roofing exposed. Often this means peeling back top layers of roofing to research what existed there originally. It's information you need if you're going to be reroofing. Another good way to research original roofing is to look at historic photographs.

Obviously, there are many kinds of roofing. A very common roofing is wood shingles, not to be confused with wood shakes. Wood shingles are a *sawn* product; a shake is split. You shouldn't put shakes on, say, a little Victorian house if the original roof was *sawn* wood shingles—it's an entirely different look. Wood shingles were the most common roofing in the West in the nineteenth and early twentieth centuries. The hand-split shake did not come into common use until the late 1920s—it's a modern material. Very often original wood shingle roofs were stained and oiled, and many times the color of the stain was black. They were stained black because it gave the appearance of slate, and that was appealing. The other reason was that the Victorians hated raw materials. They didn't value raw, unfinished materials, so they would finish a roof by staining it. Often it was black, but sometimes you'll find green, occasionally red—sometimes white, although this is very rare.

Let's say your budget just absolutely cannot deal with new wood shingles or your conscience won't let you because they use old growth cedar logs from old growth forests. A good alternative is black asphalt shingles, not the kind where you get sixteen shades in the package. You want flat black or flat charcoal gray and evenly laid so you'll get a fine, refined appearance on the shingles. You don't have to go for the real heavy ones, just the plain flat ones. It's a good alternative if you just can't buy a wood shingle roof. Roofing is an area in which you would be

wise to consult an historical architect for advice on your particular situation.

Preservation Briefs 19, 29 and 30, published by the National Park Service, are good sources of information on wooden shingle roofs, slate roofs and clay tile roofs, respectively.

Now, let's get back to maintenance and watching for water problems. The next item in our water drainage system is the gutters and downspouts component. They have to be inspected regularly, as I mentioned before. They should not leak. They should not have water running down the back side of the gutter or downspout onto the wall. It simply erodes the surface. It will destroy adobe, and the same thing happens to brick. The same thing happens to any kind of stone masonry, but it just takes varying lengths of time to achieve the damage. A common problem is not having tight connections in the gutters and downspouts. The water can be channelled onto the wall. If the wall happens to be made of stone, the water can penetrate the masonry below the surface, then soluble salts can crystallize, and that pressure of the salt crystallization can pop the surface off the stone. This is a condition called exfoliation. Freeze-thaw can also do the same thing—essentially popping off the surface of the stone. The best time to inspect your gutter and downspout system is during a heavy rainstorm. Go outside and walk all the way around to see if there is leaking, overflowing, or any of the conditions that prevent the rapid movement of water off the roof and away from the building.

Where the water ends up is important, too. The main thing is not to have water dumping right at the base of the building. You have to get that water away from the building as quickly as possible so you don't have water soaking into the ground, consequently into the foundation or wall, and then wicking it up into the wall, popping off

paint or the surface of the stone or brick. To avoid this, the downspout should have some sort of extension on it; it can go underground, you can have splash blocks, you can do a number of things to extend the downspout.

Now we're going to talk about site drainage. Where does that water go once it hits the ground? In one case, we examined a building on a very flat site. In some spots the ground actually sloped towards the building wall, so there were places for water to pool. We looked at the exterior wall and we said, "Well, now, it doesn't look that bad." Then we went into the basement. The basement walls were in very serious condition because of the water penetrating from the exterior through the brick and into the basement interior. Bricks were crumbled so badly that we had to replace a great number of the outer wythe of the brick inside the basement. There were actually two causes of the water damage. First, the water penetrated because of poor drainage—the grade didn't slope away from the house. Second, there were a lot of plantings in that zone around the house. The area was watered all the time so the plants would stay alive—logical. But it turned out to be a very serious problem because the water penetrated the walls. I know for a lot of people it's heartbreaking to hear, "You have to take those shrubs out and you can't plant annuals next to the house." I've been involved with the Molly Brown House here in Denver many times over the years. Most recently, we were walking around the building, and they pointed out the wildflower garden—they were so proud of it. They planted all the way around the perimeter of the house, close to the house, which is made of stone. I had to say, "Look what's happening to the stone on the walls of your house." So now they are having to pick up that garden and relocate it. They are going to create a no-watering zone, essentially an apron around the house. There are many ways to create this no-watering zone—gravel

and/or flagstone work very well. If you have trees growing right next to the foundation, you can crack your foundation with the tree roots. So it's important to keep those big things away from the house. Often the lawn goes all the way up to the brick—well, you have to water that grass. So what happens many times during the summer is that you're watering the *building*, you're watering the brick, stone or wood. This will peel the paint off wood or masonry. It will deteriorate and erode your stone or brick. There are innumerable problems resulting from watering your building. Look for any evidence of water damage on your building.

Now we'll move away from water and the drainage systems; we'll talk about masonry. I first want to say that there are a lot of good resources and books that discuss historic masonry. For instance, *Masonry: How to Care for Old and Historic Brick and Stone* by Mark London, published by Preservation Press in 1988, will probably tell you more than you care to know about maintaining masonry buildings.

Brick is one of the most common materials in the West. There are a number of types, qualities and applications: for instance, there is highly fired, very smooth brick combined with terra cotta; very smooth brick with a little teeny buttered joint; a sandier, rougher surface on the brick with much bigger joints; also granite, limestone, and sandstone.

One of the earliest examples of stone masonry in the West is at an archaeological site outside of Mesa Verde National Park. Nobody really knows much about it. It's a superb example of masonry, with beautifully crafted joints.

Brick and stone were sometimes painted originally or painted early enough that you should seriously consider keeping the paint. I've seen ranches where all the buildings were white. They had a clapboard building and

maybe they had a stone building and a log building, and they whitewashed everything. So it's not inappropriate sometimes. Some brick buildings were painted originally because the brick was of poor quality, or simply for stylist reasons.

Rising damp is a condition that is particular to porous materials—such as mortar, brick, sandstone, and limestone—and less so to granite and some of the harder materials. Surface and below-surface water wicks through the stone, and then as I said, it either pops the surface off either through crystallization of the salts or through freeze/thaw. Some people say, "Well, we'll just get some cement and plaster over the damaged area."

Repair is a difficult issue with damaged stone. Before you begin, solve your drainage problem. There are three alternatives for dealing with damaged, eroded stone. The first choice to consider is retooling the stone; just retool the part that is damaged. Basically, simply smooth out rough edges. Sometimes the stone is too far gone for retooling so it's necessary to replace the whole piece. Cut out the damaged stone and replace it with matching stone. The last alternative to consider is composite patching. I specify this from time to time. It has to be looked at as a temporary bandage. It won't last forever, and often it won't look good in a few years. So you take it off and do it again. But it is a way to deal with the problem on a short-term basis.

Cracking is one of the items that needs to be put on your inspection list. I recommend carefully measuring the crack and taking a photo of it every three to six months. That tells you whether the crack is currently moving and getting worse, or if it's a seasonal thing that moves and then closes up, moves and then closes up. It may be something the structure does regularly; it's always done that. But if you detect current movement,

call a structural engineer and a historical architect, and figure out what's happening. Perhaps by reading the cracking pattern you can see that a portion of the building is sinking or heaving. If you see movement, you have to figure out why it is happening. Is there water underneath that is causing movement in the soil? Perhaps when you look at the cracking pattern, you see it's not the bricks themselves that are cracking; what's cracking or failing are the mortar joints. This is precisely the way the system was meant to function. If the movement occurs anywhere, it's designed to occur in the joint. Mortar joints are like shock absorbers. They are meant to be sacrificial, to prevent the masonry units from cracking. And it can only happen that way if you have soft mortar. This is mortar with high lime content, typical for historic mortar mixes. Hairline cracks aren't too much of a problem but significantly larger cracks will allow moisture to penetrate your wall, with resulting damage and deterioration. Keep in mind that the cracks should be monitored and evaluated, and evaluated professionally.

During your regular building inspections, evaluate your mortar. Repointing has to be one of your high priorities with masonry conservation. Do you see holes? Do you see places where the mortar is loose or missing? Water and snow will penetrate these voids. Note the deteriorated mortar on your inspection sheet, and then make arrangements for repointing the deficient joints. The composition of the mortar needs to match the original mortar, as well as matching color, texture and tooling. If you put in a hard, modern Portland cement mortar next to your old lime mortar, you will create problems. For one thing, the materials will expand and contract differentially. The Portland cement is harder than the bricks, so the movement will be absorbed by the bricks and they'll crack, and they'll fail, and the surface can fail, as well. If you surround a soft brick with

hard mortar, it can actually pop off the surface of the brick. To repoint, you rake a joint back, you clean it, you put the new mortar in, and then you match your joint tooling. Sometimes the mortar joints are decorative and sometimes they are colored. There are different kinds of tooled joints. It's something to be aware of that people often overlook. The joints are shaped differently; for instance, in one period, they used beaded joints. The most common colors for decorative mortar are black, red and tan. There's a great National Park Service pamphlet on repointing: *Preservation Briefs 2: Repointing Mortar Joints in Historic Brick Buildings*.

I hope you all know that you should never sandblast a masonry wall for the purpose of cleaning or paint stripping—it takes the surface off the brick and then exposes that brick to further, far more rapid deterioration. Some people try to make a case for water blasting, but it is still blasting. It doesn't matter what material you use. You can ruin a wall with water; you can ruin a wall with walnut shells; you can ruin a wall with sand. Any material blasted hard enough will take the surface off your masonry. I'm sure you've heard this from contractors: "Oh, no, we're not going to sand blast. We're just going to use water." Sometimes they'll put on a cleaner and then, "We're only going to water blast." The result is the same; blasting under high pressure causes extreme damage. The point is: do not use high pressure treatment of any kind on historic buildings, none—not on wood buildings, not on masonry, no high pressure washes, none of that.

If you have to clean your building, the recommended method is soap and water—plain water, and a scrub brush. I don't recommend chemicals unless you absolutely need them. You can achieve a great deal with a masonry detergent and a brush and a bucket

and a garden hose. If you have to go to the next step, you can use a low pressure spray (no more than 200 psi) and some rather minimal cleaning materials. I don't like to see the acids used unless there's absolutely no way around it. Plus, you cannot allow these chemicals to get into the storm drainage system. So if you do clean with chemicals, they will probably have to be ponded, pumped out and hauled away to some toxic waste dump. It's gotten very expensive. People used to do paint stripping and cleaning with muriatic acid and it would all wash down the drain and into the nearby creek. It just can't happen anymore.

Speaking of paint stripping—think long and hard before you attempt paint removal. Paint stripping is a real problem these days because 90% of the time you're going to find lead paint. And lead paint is becoming a very big health, safety and environmental issue. I was involved in a number of large paint stripping projects in Denver recently; the material that we used was a peel-away product. You paint it on, then you put on a fabric or paper coating. You wait for it to work twenty-four or more hours; you come back and you literally peel the layers off, which adhere to this backing. Then you can properly dispose of this lead paint, which of course is toxic waste. You need a respirator, a proper respirator if you're stripping paint. I think sometimes it's easier to leave the paint on, put an appropriate color on and live with it because paint stripping is becoming extremely expensive, as well as being dangerous.

One word about masonry coatings: avoid them entirely. I absolutely do not recommend any kind of masonry coating that a contractor will peddle. Just don't do it. You're much better off leaving your stone or brick in its natural condition, as it was meant to be. Paint, on the other hand, is not that serious. Usually paint will breathe enough that it

doesn't create problems. Moisture naturally passes from the inside of a building to the outside; it happens constantly, it's part of the system. If the brick is sealed on the outside, this natural moisture from the interior will go through the brick to the outside and stop right there under that coating, and then freeze. When it freezes, the surface of the brick will start popping off. Either the crystallization of the salts, or freeze/thaw will cause this. In addition, the coating can change the appearance and color of the brick. So in just a few years, the coating can change the whole look of the brick and start to deteriorate it. Quite honestly, these coatings are incredibly difficult to remove, and sometimes we just can't remove them. We don't have the technology to get it off. So, a good rule of thumb is don't get talked into snake oil treatments: "Oh, we will seal the building. This is a new material. It breathes. It does this; it does that." I don't recommend any of them. And if you have a problem that you feel you need to solve by using a sealant, that's when you get an historical architect involved because there is always a better way.

I'll briefly mention vines here. Vines often will leach out the lime from the mortar. The plant will use the lime for growth. So you'll find that the vines have grown into the mortar joints or up behind the trim, popping the trim off. Keep the growth off the building, or keep it carefully watched and growing on trellises.

Now on to wood buildings. There are a number of ways buildings can have wood exterior surfaces: clapboards, board and batten, flush boards, shingles, wood trim. I shouldn't have to tell a group of owners of landmark buildings that vinyl siding and aluminum siding on historic buildings are a disaster, so I won't say anything more about that. The key factor in protecting and maintaining wood is to keep a paint film on the wood. The paint protects the wood.

When there's no paint on wood buildings, they deteriorate significantly. The wood deteriorates much faster without paint. So keep the paint film intact. Wood cracking, drying, splitting—they're very common conditions in buildings where the paint film has been neglected. Then water gets in those cracks, then of course you get freeze/thaw, expansion/contraction, it warps the wood—all kinds of things happen. It will seriously compromise the integrity of the wood to a point where you can't even repaint it. It may get to the point where you cannot fix it anymore. It may just require replacement. Now, even if you keep the paint film intact, wood will still age, but you won't have really serious problems. So, again, maintaining the paint film is terribly important. There's extremely good information on paint and paint pathologies, such as identifying why the paint is peeling, in *Preservation Briefs 10: Exterior Paint Problems on Historic Woodwork* from the National Park Service. Moisture is your usual problem.

I don't recommend washing wood buildings with high pressure water. I know it's a great temptation, but the fact is that wood really needs to be treated without water because water is the biggest problem with wood. I've seen it; in fact, some friends had their house power washed, and they got a tremendous amount of water in the building; inside the house, water ran down the walls. The buildings are not designed to take it, so I recommend washing by hand—old-fashioned hand work. To prepare a wall for painting, you can't get around the extremely time-consuming tasks of scraping, sanding, and smoothing the surface. There's no easy way.

I want to mention a few things about windows. There is a wonderful book on the subject on window repair, maintenance, replacement, storm windows—all the issues are nicely laid out in this book. The title is *Repairing Old and Historic Windows: A*

Manual for Architects and Homeowners, done by the New York Landmarks Conservancy, and published by the Preservation Press in 1991. Another useful publication is *Preservation Briefs 9: The Repair of Historic Wooden Windows*, issued by the National Park Service in 1981.

The main point about windows is always try to think conservation, and I don't mean energy conservation; I mean conserving original fabric. So often people say—and it just sets my teeth on edge—"Those windows are rotten. We have to replace the windows." Well, in fact, it is simply wood dried out and cracked and pitted. This wood has openings that water sits in, which makes it worse. But, in fact, 90% of the time the windows can be repaired, and they are original historic fabric of the building. Windows are annoying when they don't work properly, when they're painted shut, or when the sash weights don't work. The fact is, a good carpenter can take your window apart, lay it on a bench, get it back into shape, put it up with new weather stripping, and you've got a window as good as new. Better than new, because it is original. I've been on a number of projects where we used epoxy products to fill the cracks—not the traditional fillers because they pop out too quickly—but epoxy fillers that are sanded smooth and then painted. I've done it on dozens of projects, and it stands up beautifully. It can fill holes. If you've got pieces missing, a chunk out of the wood, you can use this epoxy to fill that, and once it's painted, it looks the same. I'm a great believer in maintaining windows and repairing windows but never wholesale replacing windows. Repairing windows scares people. The publications I mentioned will go into a lot more detail to ease your mind.

Doors can also be repaired with epoxy fillers. You may find a door that isn't too bad, but it's had numerous locks—it's just

chewed up. Take the door, lay it down on a bench, fill the holes with epoxy, sand it smooth, paint it, and your door will look terrific and you don't have to replace it.

Just one thing about paint analysis. It's a good idea to determine the previous colors that wood was painted. You can match original colors; or if your time frame is later, you can match a subsequent color. You can hire a professional to do microscopic paint analysis, but there is a simple way you may be able to do it yourself. First, gouge the paint down to the substrate, down to the wood or masonry. Then sand the gouge at an angle so you spread out the gouge with the sand paper. You will see a broad section of each paint layer by sanding it out on an angle. There are a lot of good sources now on historic paint colors to help you do research on paint colors.

Now just one last thing on interiors. Be cautious in what you remove. It's so easy to say, "Ugh, these walls; let's just tear them all down to the studs and start over." But you're destroying so much original material and so much original evidence when you do that. So any interior demolition or stripping has to be evaluated very carefully. If you have bulging plaster walls, they can be repaired. You don't have to live with it bulging. You can repair it without removing all the plaster.

Doing research on your finishes on the interior is important. Wallpaper provides really important information. By carefully examining the layers, you can see how to restore the house, what finishes to match. I recommend against stripping everything off all the walls. Leave at least part of the original evidence in place. It might be behind a radiator; it might be behind a door or one entire wall, but leave the evidence in place. To have that whole finish history intact is terribly important.

I find that people often don't understand painted finishes such as graining. It is a painted grain, and it was original to the period and highly prized. I was involved in a project in which the building had painted grain in numerous places and *trompe l'oeil* moldings, painted moldings. The architect who was renovating the building tore out all that graining. For instance, he removed the *trompe l'oeil* paintings on the walls, and put in a wood molding in that shape. He took out a fir door that had oak graining on it and replaced it with an oak door without painted graining. He said, "In the past they couldn't afford to put in the moldings and the oak door, but we can now." The point is that the painted surface was historic fabric. In my research, I found black walnut with painted-oak grain on top. Again, the Victorians did not prize raw materials. What they liked were the finishes. You have to respect this. Graining, marbleizing, *trompe l'oeil*, etc., can all be duplicated quite easily these days.

So, to summarize, inspect your building quarterly or every six months. Write down your observations and what jobs you need to do. Water is your building's number one enemy. Retain as much historic fabric as possible, exterior or interior. ♣

THE TREATMENT OF HISTORIC STRUCTURES: THE SECRETARY OF THE INTERIOR'S STANDARDS

Chris Jones

At the time of the conference, Chris Jones was team leader of Architecture and Preservation Assistance in the Rocky Mountain Regional Office of the National Park Service. Currently, he is program leader of Maintenance/Design/Engineering in the Colorado Plateau System Support Office. Jones has been an architect with the NPS for thirteen years. Prior to his involvement with national preservation programs for a sixteen-state region, he was directly involved with NPS preservation projects for nine years. Jones was team captain and historical architect for NPS projects in Boston, Springfield (Massachusetts), and Pennsylvania.



Good morning. I'll be discussing the Secretary of the Interior's Standards for the Treatment of Historic Properties. [These standards are contained in Appendix I.]

The "Standards for the Treatment" cover four particular treatments for historic properties: preservation, restoration, rehabilitation, and reconstruction. Those four standards have actually been revised and modified. Originally there were seven standards; and in 1992, those seven standards were reduced to the current set of four. Previously, there were additional standards for stabilization, protection and relocation of historic properties. Stabilization and protection have been consolidated with the remaining standards; relocation has simply been dropped. So those are the four standards for historic properties that we are dealing with today.

The standards are not new standards; they have been around for at least two decades. They represent international thinking about preservation; in fact, they represent the results of an international Venice charter on preservation. The standards that are employed in this country, are really part and parcel to the same kinds of thinking, philosophy, standards, and actions that are used on historic structures throughout the world. So, they're not unique to this country, and they aren't something that this agency alone adopted and employs.

You may want to know how to determine which standard you need to use. How do you know when something should be preserved, or when you are rehabilitating a structure. I will suggest a few simple recommendations. First, if you have an existing historic structure that's intact, and that structure needs to be maintained or repaired, then by all means follow the preservation standards. Moreover, if you have a structure in which you choose to accurately recreate a particular period of time in its history, then use the restoration standards. However, if you choose to make alterations or additions to a historic property that accommodates new uses, then you'll need the rehabilitation standards. Lastly, if you want to do reconstruction, which means the accurate duplication of a vanished property, then you're looking at using the reconstruction guideline.

Now, how are these standards alike and how do they differ? Let me give you a few simple rules on that as well. First, they are all based on a set of eight standards. If you look at the preservation treatment, you'll see eight standards listed in that category. Those eight

in some shape or form are reflected throughout the four treatments, they comprise a common thread that binds the treatments.

The second treatment is rehabilitation. There's a set of ten standards listed. The first eight are the basic set, plus an additional two, which are Standards 9 and 10. These extra two address alterations to historic properties and new additions to historic properties. Item 9 is what we like to call the contemporary but compatible approach—it's the simple formula we apply in determining whether the new work is an acceptable treatment to a historic property. Standard 10 is what we call the test of reversibility: if a building is modified or altered, can that change be removed in the future, without sacrificing the integrity of that structure? Those are the implicit added features of numbers 9 and 10 to the rehabilitation standards.

Under the restoration standards, there are several modifications to the basic eight. Item 4 is unique to the restoration standards; it concerns voluntary loss of historic fabric and thus the need to document what you remove. In addition, Item 6 from the basic set of standards has been expanded for restoration, thus creating Item 7; it's a warning about adding conjectural details to properties. Once again, Standard 10 under restoration is somewhat unique to this category, concerning "historicized" appearances of historic properties. Therein lies the difference between the restoration standards and the first two sets of standards.

The reconstruction standards are a completely different animal. You'll notice there are only six standards, and they really don't follow the recipe approach that you see with restoration, preservation, and rehabilitation. Reconstruction is really not a favored approach. Often you encounter many difficulties in trying to reconstruct a property.

Let me give you a few examples of where the pitfalls occur. One, there's often not enough information available to construct a building so that the appearance, the character, and the detail are accurate and appropriate. Another example of a downfall is the absence of the historic materials that were used in a historic property—the milled wood, the sizes of the wood, the type of construction, the types of materials—they are simply not available. The impression of the building that you're reconstructing will be less than historic if you use more modern (inaccurate or substitute) building materials. Another situation that creates difficulty is the lack of the skilled tradesmen, craftsmen, and the know-how that was needed on the original buildings. No matter how hard you try to duplicate that, you're only going to come out second best. And the last difficulty is that in times of limited budgets you may want to retain the traditional exterior appearance but choose to put that building to contemporary use. This also happens with rehabilitation work—maybe you want to use a historic home but need to accommodate modern offices and a lot of other new uses. It's hard to marry old technology and recreate/retain historic appearances when you're trying to satisfy modern codes, modern systems, and modern materials needed for a palatable conversion and acceptable new use. For all of those reasons and more, reconstruction has never been favored by the National Park Service and many other sectors of preservation in the country. But the guideline does exist. I thought it would be worthwhile to point out the difficulties in adequately applying this standard.

Each of these four treatments—restoration, preservation, rehabilitation, and reconstruction—will dictate the approach that you'll follow in your work. What are you going to have to do? First, prepare for a lot of investigation: identify the problems,

acknowledge the issues and determine what your goals are for the project before you start.

Next, do research, research, and more research. That will include everything from the history of the property to searching for pictures and documentation about the evolution of that property. Perhaps you'll hire researchers who could be professional historians or historical architects and conservators. You may do a little bit of selected demolition on the property in order to make some calculated judgments about what was there and learn more about the problems, and types of construction and details as part of the discovery process.

Another step in the process is to make some informed decisions. In doing that, you'll probably go back and reassess some of your earlier directions and goals on the project. Determine what period of significance is important to your property as a precedent and a goal. What historic materials can be found? Can they be fabricated? Can those materials and those costs be afforded given the budget of the project?

The next stage will be project development. Decide how much contract development and contract documents are going to be required. Determine if you can find the reputable and skilled contractors and tradesmen to do the work. Develop a documentation plan for your project. Allow for such things as the environmental conditions. Are you going to be under construction during the winter? What will that do to the construction schedule and the vulnerability of your property?

The last item is what I call project commencement, when the work has begun and you're underway. Concern yourself with the impact of the seasonal work; for instance, if you have plaster in the building, you will want to keep the building warm, you will want to keep the plaster and the woodwork dry. Those are all critical issues while you're under

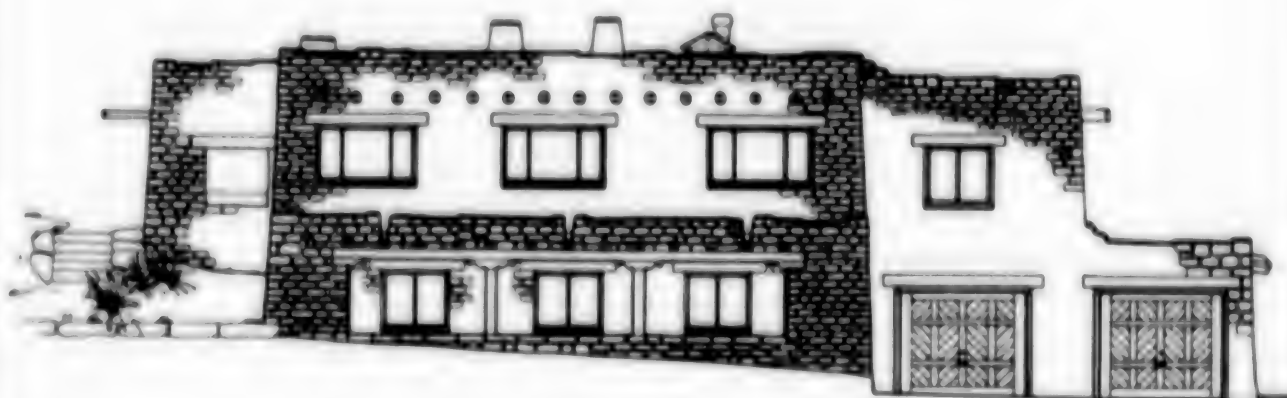
construction. You may have to have preventative measures to protect the good fabric while you're repairing the bad fabric. Cover certain items, protect them against damage, or even remove them temporarily while the construction is underway.

Monitor the progress carefully. If I were an owner of a NHL, I would be very disappointed if I had a very good set of contract documents and I had done a lot of leg work, only to learn that the project was never finished as intended or as designed, because someone couldn't or didn't read the drawings or someone wasn't following instructions and monitoring (supervising) the job progress. Those are just some insights that you should be aware of when employing the standards.

Now we'll move to the second part of this presentation. Andy Beck will discuss park service projects that he has been involved with, one of which is the Old Faithful Inn. Why do we single out the Old Faithful Inn? Well for some obvious reasons. It is a National Historic Landmark. When the National Park Service undertook this ten-year project, it became apparent very early on that the project involved a couple of the standards—restoration and rehabilitation. So in presenting this project, we can capture many of the issues and difficulties involved in applying the standards. Also, as an owner of that project, the park service was in your shoes. In other words, the park service had to decide how to upgrade the life safety performance and mechanical systems while slowing down or reversing the structural deterioration of the largest log structure in the country. You'll be exposed to issues of rehab on lobbies, kitchens, and sprinkler systems in the building, you're going to see issues of preservation with the logs and the rafters; and you'll further be able to enjoy a lot of the travails and triumphs associated with restoration of the siding and the roofing. ♣



NORTHEAST ELEVATION



SOUTHWEST ELEVATION

Among the first buildings designed by the National Park Service to be based on local native cultural traditions, the 1923 Mesa Verde Administration Building exemplifies Pueblo Revival style.

Historic American Buildings Survey, Library of Congress, Kevin M. Speece, delineator, 1977

THE TREATMENT OF HISTORIC STRUCTURES: THE OLD FAITHFUL INN RESTORATION PROJECT

Andy Beck

Andy Beck is a preservationist, both in his profession as an architect, and in his life. He not only works with architecture, but he has been dedicating the past ten or twenty years to restoring his World War II military jeeps, as well as preserving his thirty-year-old Ford station wagon, so he is totally saturated with this view and belief in preservation and restoration.



National parks are fabulous places where Americans love to go to get away from it all, to see some of the very special natural things that make our land unique. I think the reason is that most of us come from big cities. These are places that don't give us the opportunity to get close to nature, to get a chance to see some of the very special plants, animals, and places that exist in our national parks. National parks can be found just about everywhere—in almost every state, in almost every ecozone. There are beautiful, spectacular mountain vistas as well as small, quiet, intimate spaces that could almost be thought of as a place for meditation.

But the National Park Service also cares for our national historic sites. That is, some very valuable cultural resources, even inside our natural parks, like Yellowstone. These things may be special because of a historical event. Sometimes it's because of a person and occasionally, albeit rarely, because of the architecture itself. Unlike the deserts and the forests, these places do not regenerate with time. They slowly decay. So in its infinite wisdom, the National Park Service established an office in Colorado they call the Denver Service Center. This rather ordinary government office houses a lot of unordinary

people—architects, engineers, landscape architects, planners, historians, archaeologists, and a vast array of support people—who go out into the parks to deal with these properties. Sometimes when we get there, it's too late. There is nothing much we can do except smile at it and say, "Well, that was nice at one time."

When we can, we categorize the resource into the four treatment categories—preservation, restoration, rehabilitation, and reconstruction. Let's take a look at all four of them. Let's start by taking a trip down to Bandelier National Monument in New Mexico. There on the floor of Frijole Canyon is a city that was built over a thousand years ago. Here, all we wanted to do was preserve what was there just as we found it. This is preservation. All we did was stabilize the ruins, we made no changes to their appearance. The site is just as the way it was when we found it. Occasionally, we added things, like ladders, to get to the different levels, but we built them just as the ancients would have done it. Otherwise there were no changes.

The absolute opposite end of the spectrum from preservation is reconstruction. For that, let's visit a park called Pu'uhonua o Honaunau, which is located on the Kona Coast of the big island in Hawaii. This city of refuge was built hundreds of years ago out of grass and bamboo and wood. By the time the National Park Service got there, all that remained was one lone stone wall. Nothing else was there. We set about reconstructing from scratch the entire City of Refuge. It's all brand new, using the techniques and materials and equipment that would have

been used when the place was first built, based on what our archaeologists had told us.

Preservation and reconstruction—two opposite ends of the spectrum. In Yellowstone National Park, we're not doing either of those. We are doing many interesting rehabilitation and restoration projects. Yes, we did address all the issues. Nevertheless, we ended up being in a situation where we didn't do the two opposite ends of the spectrum, but came down in the middle because of how buildings were being used today.

Let's take a look at rehabilitation for an example. The Lake Hotel is located in the center of the park near Yellowstone Lake. For all of its classic facade, this building is built no differently than an ordinary farmhouse. It has a tremendous amount of what we historical architects love to call "character." We went to this building to study it. One of the things we found was a fire escape sign pointing into the women's room. Had you gone into the women's room to try to find the fire escape, you would have had to find the right window, then go down a ladder, across the roof, down another ladder and finally to safety. Which is, by no means, a safe or legal way to get out of a building. So, we headed back to the drawing board. During the next winter, which was in 1979, we built a set of fire stairs around the building that would make it a lot easier and safer for people to get out. There are different philosophies on adding on to a historic structure—do you make the addition blend in or stand out? There are a lot of good arguments on both sides of the coin, and the pendulum has swung back and forth on this issue. That's not the purpose of our discussion here today, but you should know that at that time, clearly, the decision was to stand out.

Occasionally, rehabilitation and restoration will cross paths in the same

building. For one of those, let's take a trip up to Mammoth, to Officers' Row. Take a look at building Number 4, an 1897 duplex that was built by the U.S. Army when it ran Yellowstone National Park. This building had been converted into a dormitory about twenty years prior to our project. The original baths had been taken out, and in their place gang toilets and gang showers had been installed. These were the first things that we removed. It's really exciting to see something such as the grungy, grimy, paint-stained floor get stripped down to the beautiful original wood that's there. It begins to make you feel, "I'm doing something good! I'm doing something worthwhile!"

Imagine the surprise of my carpenters when I said, "Knock a hole in that wall." They said, "But, Andy, that's a perfectly good plaster wall." My research had revealed that inside we would find the remains of a pocket door. We even found some of the hardware still inside the wall. We found the doors in the basement of another building. All we had to do was reproduce the trim. Nice job.

On the south side of the building, there was a beautiful oak stairway that was just right for restoration work. I immediately set the painters to work at stripping off years of shellac, varnish and dirt. Some of the balusters had been kicked out when it was used as a dorm, so they had to be replaced. We found new oak and turned new balusters on a lathe. We marked them as being replaced. Finally, the new coats of varnish went on. I know that everybody there was very, very proud of the result.

Unfortunately, on the north side of the building, the stairway had been enclosed in a wall that completely precluded any opportunity for preservation. But we found a stairway of a similar vintage that was going to be removed from a nearby building. I had my carpenters bring it over in pieces and

reassemble it inside of building Number 4. This was a fine reuse of historic fabric that would have otherwise ended up in somebody's fireplace for winter heat.

Slowly but surely, piece by piece, the details of the building all went back together again. This is a slow process. In parts of the building such as the kitchen, we had no physical or historical evidence on what it looked like. I simply had to design a new kitchen that was reasonably in character with what was there originally. Indeed, there is an original 1896 television set that we put in just for the ambiance. The next time you're ambling along Officers' Row and you come to building Number 4, you won't see anything. It was rehabilitation and restoration crossing paths *inside* of the building. We didn't do any work on the outside on that particular project.

The Old Faithful Inn. It's the second largest log structure in the world. The Chateau Montbello in Montreal is the largest log building. I believe this is the greatest restoration project that's ever been done. The story starts in the spring of 1979 while the April snows were still falling. The Denver Service Center sent a team of architects and engineers to Old Faithful to determine what would be necessary to do a proper restoration. To do this kind of work it takes somebody like me, somebody a little nuts. Somebody that's willing to go anywhere to get the information to do an accurate restoration. I really did crawl all over, into and under that building. I crawled into every single space a human being could possibly fit into. Some spaces were just big enough for me to slip my head into and say "hi" to one of the bats that lived there and then move on to someplace else.

When people look at rustic architecture the first thing they think of is log cabins. The Old Faithful Inn is a classic example of rustic architecture. Like most, it is not an all-log

building. What you see is log details and latticework. Above the first floor, almost everything is ordinary frame construction. There is very little log construction in the building. Yet, it is still the biggest log building in this country.

It didn't take too long before it became apparent to us that the building had a rotten roof. In the main lobby, we did quite a bit of study as well. We took note of things like the very subtle bow in the floor that you can see on the exposed edge of the second floor. Years of snowloads and earthquakes have definitely changed the shape of the Old Faithful Inn. But the building is still pretty tight. It is not going to fall down in spite of the fact that the joints are so wide in a few places I could stick my arm through them. It has moved around, but it's still in pretty good shape.

Back to Denver. Back to the drawing board, and back to a vast amount of historical research that's necessary before you ever get started. From studying the original drawings and photographs I believe I know the scenario during construction. The architect of the building, a man named Robert Chambers Reamer, who was only 29 years old at the time, was on site. His master carpenter came over to him and said, "Mr. Reamer, you see this thing on the drawings? And you see up there on the building? Well, I can't build it!" Reamer looked at his drawings and he looked at the building and he said, "Oops." Therefore, the actual building we have is quite different than those original drawings. In fact, what was then a 140-room hotel was drawn on only six sheets. Only three of the sheets are full. Reamer didn't do much drafting. But, it's a beautiful building and we all love it anyway, and I'm glad it's there.

So the fall of 1980 came, and I went to Old Faithful to start this decade-long project. Soon I met my contractor, a fellow named

Dick Anderson from Helena, Montana. Immediately, Dick and his crew got to work. I'd like to remind you that things will look worse before they look better on your properties. There are days you get out to the site and think, "My gosh, will I ever see the front door again? Can anybody collect this much garbage?" But it will look better eventually! I promise!

You can divide up the work we did on the Inn into several major sections. The first, most major aspect of the work was reroofing the building. You can bet that's a very steep roof—it's 12:12, a 45° angle. You just amble out there, and you'll find out very quickly how steep it is. First, we tore off the old roof, in some cases two and three layers of roofing thick. All of the sheathing boards were hand inspected by yours truly. Any boards that were rotten or decayed were replaced with new boards, milled to exact dimensions, textures, and tolerances to match what was on the building when it was built. Then the new roof was put on. Number 1 blue label, perfection, Western Red Cedar shingles, not shakes, matched by the coursing lines to what was on the building when it was first built.

Tearing off this much roof leaves a tremendous opportunity for the penetration of light and air and water. We dealt with this by covering the roof with large sheets of plastic. Inside, below the roof, we covered what was down there with more plastic. It was a difficult battle, one that I must admit that, on occasion, we lost. We did get some staining inside of the building. But I'm happy to report it wasn't anything we couldn't go back to later on and completely restore so that nobody could ever tell we had a problem inside of the Old Faithful Inn.

The second aspect of the work involved the siding shingles. Wood shingles wear out and these certainly did. We didn't have to replace all of them. It depended upon where

they were and what their exposure was, but we certainly replaced a lot of shingles. Over 1,000 squares of shingles. The shingles had a chevron pattern on the bottom edge. We photographed them, measured them, drew them and then hand carved them before putting them back in place exactly the way they were when the building was first built. Each type of chevron was documented, as well as the pattern of installation resulting from groups of shingles. Every single detail was handled this way.

The third aspect of the work involves logs. Logs that were so far gone that they could not be repaired and simply had to be replaced. Perhaps you, as owners, appreciate how terrifying it is to tear off an entire section of your building and then find out that nothing is straight, nothing is plumb, nothing is square, nothing is planar, nothing ever, ever lines up, and then try to piece the whole thing back together again. Ever so slowly and admittedly painfully, but surely, it did go back together. I know that the people who worked on the Inn are very, very proud of what they did.

I spent hundreds of hours in lumber yards, going through thousands of logs, sometimes only to pick six or ten so that we would get the finest logs available for the Old Faithful Inn.

Although we did do some work during the summer, we did most of the work through the winter, so we would not interfere with the safety of the visitors, the operation of the inn and, therefore, of course, the money that it makes. With the arrival of winter, we were faced with an entirely new set of problems. In came the snowmobiles, in came the snow coaches, and with them, in came the snow. We were faced with the same problem that everybody else was. We had to move our equipment a little bit at a time by snow machine. On a job that needs major

shipments of supplies, this is a big logistical problem.

That roof with a little bit of snow on it is a very different story. Back in the sunshiny and balmy days of October you could jump from one portion of the roof to another and feel as sure-footed as a mountain goat. That same roof with a little bit of snow on it made people walk a little more slowly, a little more carefully, and hopefully a little more safely. Some days we showed up on the job and the roof was buried under three feet of snow. These were the days that the crews got out their safety lines and roped up. They got out their shovels and they began to shovel off the roof. In some cases, it would be a very small space that they shoveled out between the drifts so they could work for a couple of hours before the snow would bury them again. Believe it or not, with snow falling at the rate of up to three feet a day and temperatures of -35°F, the crew never shut down one day due to weather the entire winter. They worked straight through. These were some tough people.

With the arrival of warmer weather, we looked forward to the fourth aspect of the work, logs that were not so far gone that they had to be replaced, but did have to be repaired. I learned about a new system working in Grand Teton with a team of eleven people from New Jersey headed by Harrison Goodall and Rene Freedman.

At Grand Teton National Park we worked on the superintendent's house and the old administration building. We used some very exotic epoxy consolidants and patching materials which, at that time, was really new stuff. Nobody had done much with them. We had a lot of what we had on the Old Faithful Inn: rotten logs, lots of rotten logs. Like dentists, we went in and hollowed out the decay. Then we used the epoxy consolidant that looked like lemonade, but didn't smell like it. We could brush it on,

spray it on or pour it on. We used all these techniques. Next we filled the void with a polyurethane foam. Then we carved it down by hand, leaving enough space for an epoxy patch that looked like chocolate frosting. Unfortunately, it didn't smell like chocolate frosting.

Sometimes a log was too far gone for epoxy treatment. In those cases, we removed the rotten section and spliced a new log on top of the good portion of the existing log. We cut the new log to match the original trim marks. Finally we tooled it and stained it. Unless you could find one of our little stamps that said, "1980," it would take a very skilled person to know what we had done in that location. Preserving as much of the original material as possible was our approach.

I spent an entire day learning how to reproduce tool marks on four log crowns. Our new logs matched exactly the appearance, shape, size, and angle of the original logs that were there. Obviously, what I'm talking about is a lot of very fine, handcrafted, painstaking work. But, some of the work was done with larger and cruder tools, like chain saws. Either way, just remember that it's going to be a mess and get into it and enjoy it. When you start off with a porch that's rotten, decayed, collapsing, falling apart, and you end up with one that looks pristine, as it did originally, then you know your work was worth it and you feel really good about it.

I want to tell you something about the people who have worked on the Old Faithful Inn. It takes a very special person with stamina, courage, and character to get out on a roof, safety line notwithstanding, with a forty-foot free fall, and nail on shingles and nail them on correctly. Or, on a day when the temperature is sub zero, take off your gloves to carve a shingle by hand. Or to work round the clock in the pouring rain to get your work done so it won't be in the way of the visitors.

In 1978, *National Geographic* had an article about winterkeeping in Yellowstone National Park. In that article, the winterkeeper boasted, "It's the toughest work in Wyoming." In 1978 that was probably true. But you can bet for the decade that we worked on this building, the toughest work in Wyoming was the reshingling of the Old Faithful Inn. So if you happen to meet one of the men or women who worked on this building, shake a hand. You will be shaking a hand of someone who had a lot to do with the history of the Old Faithful Inn. These people have been doing the toughest work in Wyoming, and they've been doing a damn good job.

Many people see this work, and they say, "Andy, what a phenomenal amount of time and trouble and effort and money. Why bother? Who cares? What difference does it make?" To me, the answer is really very simple. It was about 122 years ago that some people had the foresight to set aside our nation's natural resources in the name of generations yet unborn. We are those generations. We have benefitted because somebody cared about us a long, long time ago. Now we have the opportunity to set aside our nation's *cultural resources*, the ones that you people have right in your hands. These future generations don't even know it yet, but they will thank us for having the foresight to care about these things and preserve them, and they thank each and every one of you for what you're doing.

If there are any questions, fire away.

Question: What was the budget of the Yellowstone project, and who paid for it?

Response: Some of the total budget was funded by Congress, some by the concessionaire. There were a series of contracts over ten years. The cost of all of them combined was about \$7½ million,

but the reshingling that you looked at was "dirt" cheap. It was merely \$750,000. It was a three-year portion of the project done in two contracts.

Question: Why didn't the concessionaire pay for the whole Old Faithful Inn project?

Response: Because the United States people own it, not the concessionaire. I'll tell you a little background on the issue of ownership. For many years the concessionaires owned all of the buildings which they operated in Yellowstone and many other national parks. That's the way the system had been established at the turn of the century. The reason this project got started in Yellowstone was that the concessionaires just weren't taking care of the buildings and providing acceptable visitor services. The quality was unbelievably low. Restaurants didn't meet health standards. There was building damage in a lot of places that wasn't getting repaired. Some buildings were even collapsing. High-level decisions were made to buy the whole concession. In this case, the National Park Service became responsible for restoring the buildings and getting them up to snuff. The new concessionaires, who didn't own the building, but would operate it, had to take a portion of their gross profit, not their net, and put it back into the maintenance of the buildings. There were a lot of contractual changes from how we had operated for almost eighty years.

Question: I challenge the idea of reusing the fabric from another building in building number 4.

Response: In this location we were faced with multiple problems. One problem was a limited budget for doing the

restoration. Another problem was that I couldn't restore the stairway because of the existing conditions, material availability, and talents in the area. In addition, I couldn't stand the idea that something valuable and historic in the next building was going to get trashed. Indeed, why let it get trashed? A stairway was needed. We used an unprotected historic stairway in the location that an original stairway had been. We marked the stairway for what it was, we certainly didn't cheat or lie about it, or present it as something that it wasn't. Also, our work remains reversible and no historic fabric was damaged. ♣



Designed by Henry Hobson Richardson late in his career, the John J. Glessner House National Historic Landmark represents the height of the architect's Romanesque style.

Historic American Buildings Survey, Library of Congress, photocopy ca. 1923 from J. J. Glessner, *The Story of a House*

DEVELOPING HISTORIC BUILDINGS FOR ADAPTIVE REUSE

Gary Stenson

Gary Stenson is president and founder of MetroPlains Development, Inc., a company specializing in developing affordable housing; they often rehabilitate historic buildings for this use. The company, established in 1978, works in small to medium-sized towns in the Midwest.



To start, I'll tell you a little bit about MetroPlains. The first two developments that we did involved old buildings, although they weren't listed on the National Register of Historic Places at the time. Currently we are an organization that almost exclusively develops affordable housing, and about half of the developments that we do involve historic buildings. We take advantage of the historic tax credits and the housing tax credits. About 25% of our business involves acquiring existing housing developments, often multi-family developments that have problems for one reason or another. Then about 25% involves new construction and even the new construction usually involves special circumstances; perhaps it's a community that has special needs for housing, sometimes we put new construction on a playground area where we are rehabilitating the historic school into affordable housing. We are set up as a separate limited partnership, of which we are the general partner for each development. We have a related entity—Garsten Management Corporation—which manages most of what we develop. We started in a small town in North Dakota where I grew up. We found our niche in smaller communities, usually communities under 50,000, although often with a population under 20,000. We now

work in about a 700-mile radius of Minneapolis/St. Paul. We have a real pride in the end product, and that certainly is easy to do when you're rehabilitating a historic building. It's also gratifying to see the community's pride in the end result.

We work very closely with all of the players in the local communities, from the historic preservation people to the city government, to the local housing authority, and whoever else has a special interest or need. You really have to work with the community and identify what their needs are because you're going to need them in this long process of putting the whole package together. We look for support in the local community; if we can't get it, we don't think the project is feasible, and we move on to other things.

Now I'll discuss some of the developments that we have done; what I'm going to try to do is identify the various programs and resources that we put together so that you will get some ideas of what may be out there.

Probably our most active area is Devils Lake up in the very northern part of North Dakota; we've completed seven developments and currently have two under development. One example is the Great Northern Hotel in Devils Lake. It was built in 1911, by private individuals, along the railroad tracks. The Amtrak railroad station is next door and still operates; Amtrak comes through twice a day. Nearby is the location of the old Ford dealership; when it moved, the community of Devils Lake, home of 7,500 people, worked with the Department of Housing and Urban Development (HUD) and got some Community Development Block

Grant (CDBG) funds to assist in building a senior citizens center on the site. There is also a neighborhood facility, funded through HUD, that's a day care center. A gas station has been taken over by the senior citizens association, where they house their fleet of buses that they use to provide transportation for the seniors.

The Great Northern Hotel went the way of many of the old hotels which could no longer compete with the new motels out along the highway that have plenty of parking and bathrooms in every room. We acquired the building in 1979 from the county—it had gone back to them for non-payment of taxes. We used a little bit of the Community Development Block Grant funds for the sidewalk improvements, but the major financing was from the Department of Agriculture, the Farmers Home Administration, the 515 program. That's a program that makes fifty-year loans at 1% interest. It also has a component of rental assistance so the tenants pay 30% of their income for rent. This was the first time this program had ever been used in a central business district, the Farmers Home Administration (FHA) thought that the program should be used primarily for new construction, but there was nothing prohibiting its use for rehab. They also felt that it should involve housing on the edge of town, more rural in nature and they just didn't want to get involved in dealing with the issues of a central business district and buildings with elevators and all those kinds of things. So there was a strong lobbying effort by the citizens of Devils Lake and the Farmers Home state director at that time. After several trips to Washington they finally convinced Farmers Home Administration to amend their regulations. HUD was also involved in a Section 8 contract to provide rental assistance to the thirty-eight apartments.

The couple who were the first people to move in there after the rehab were fairly typical tenants. They had had a farm about a mile outside of town, they had about two quarters of land, which is a very small farm, and raised two children who became school teachers. The first night, when they moved in, he told me that this was going to be the first time he had lived any place that had running water. Unfortunately, a city water main broke that night and he didn't have any running water then either.

We rehabbed the Great Northern Hotel before the Secretary of the Interior's Standards were established, and before the historic tax credits. Back when we did this in the late 70s there was accelerated depreciation, this allowed you to raise the equity by depreciating up to \$20,000 of the costs per apartment over five years—you received that benefit regardless of what you did as long as the building was over fifty years old. So there are things in some of these earlier developments that we probably wouldn't be doing today. We created an atrium, installed a sky light, and made the railings match existing woodwork, but I'm not so sure that we would do it the same way now, under today's standards. Vern Hanson was the principle at an architectural firm in Minneapolis when I got involved with the Great Northern. He designed or has overseen the design of all of the developments that MetroPlains has done. He became a principle in MetroPlains five years ago.

Let's move on to another example: an old hospital in Jamestown, North Dakota. Part of it was built before World War I, part was built later, joined by a connecting link. The building was deemed to be non-historic which at that time, before the days of historic tax credits, didn't make any difference to us from a financial standpoint. We used Community Development Block Grant funds to remove the old boiler house and the

asbestos. We used the Farmers Home 515 program to provide the loan. The connecting link was removed and a new connecting link was added. Again, if this had been deemed a historic building at that time, it wouldn't have been done this way. We put on a five-story wing creating a total of 70 apartments. Often, we end up with our new main entrance on the back, or on a non-contributing facade, to get our handicap accessibility.

Union Place in Black River Falls, Wisconsin is the first development we did utilizing the housing tax credits, or the low income housing tax credits. People are trying to get away from the terms low-income housing and moderate-income housing, they're using the term affordable housing, we just call it housing tax credits. So we talk about historic tax credits and housing tax credits. The housing tax credits became available in the 1986 Tax Reform Act, each state gets \$1.25 of credit per person. It works well to combine them with the historic tax credits, and in this case there was a Farmers Home 515 loan also.

Union School was built in 1871. The school district sold it to a local contractor who removed a lot of the historic fabric and then turned it back to the school district. That is when we got involved. We discussed handicapped accessibility quite a bit with the NPS, the State Historic Preservation Office and Farmers Home. The preservationists wanted the entrance vestibule so that you could see that it was an addition, that it wasn't part of the original building. I think the end result worked out quite well.

As far as I know, this school building was the first tax credit project—in at least the Rocky Mountain Region—in which low-E glass was allowed. In the early days of low-E glass, it had a strong blue tint to it, it's certainly got a lot better recently. There were a lot of negotiations about the glass because Farmers Home was very insistent on the

energy efficiency while the Wisconsin SHPO was concerned about the appearance and the visual distraction of the low-E glass. We replaced the original windows with new windows made by Midwest Wood Products out of Iowa; they are all true divided lights.

Looking at historic photos we were able to determine that there had been a widow's walk on top, which had long since disappeared. This is the highest point in the county. It's a town of 3,500 people overlooking the Black River. The local Veterans of Foreign Wars, the American Legion, and the Disabled American Veterans wanted a flag flying on top, so they raised and donated the money for the reconstruction of the widow's walk, for the flag pole, and for the big floodlights that are down inside which shine on the flag so it can fly 24 hours a day. We couldn't determine the original interior colors, so we chose colors of the period.

Another project, St. Mary's Academy in Devils Lake, North Dakota, was built by the Sisters of Mercy of Omaha in 1909 as a Catholic boarding school. There was a fire in 1980 and the building sat empty for about five years while they decided whether to rebuild or not. The end result was the high school students went to the public school and they closed the high school. We acquired the building using Farmers Home financing. We paid for half of the cleaning of the building through the State Historical Society using a program creating summer jobs. We created twenty-eight units of housing. The school had a gymnasium attached to it, we explored possible uses with the community and the school district but nobody had a need for it, and no one wanted to take responsibility, so we removed it. A little bit of a sideline: there's twenty-five acres behind this building that we are currently developing as a joint venture with Senior Meals and Service Inc., building 250 units of retirement housing. This is something Susan Escherich

mentioned—teaming up and working with nonprofits. And that's really the way to go—political leaders in Washington and all over are encouraging public/private partnerships.

The hallways in St. Mary's Academy are a good example of our treatment. They are the historic hallways, so they are obviously much wider than your normal apartment hallway. We preserved the natural wood floors, since they aren't very conducive to maintenance with lots of traffic, we installed carpet insets that still show the original wood floors. The door going into the trash room is a rated labeled door but we applied molding to make it resemble the original four-panel door. If you start counting the doors you'd say, "Boy, those doors are pretty close together, those must be some small apartments." Well, not all the doors work, we kept all the entrances just as the hallway was, but just used the ones that we needed.

Typically we put two inches of rigid insulation on the inside face of all the exterior walls, apply new sheetrock, remove all window trim, baseboard, door trim, refinish it and then re-apply it. We either repair and reuse existing windows or more often in northern climates they're so badly deteriorated that we'll put in new windows. Marvin Windows or Midwest Wood Products out of Iowa are two that we've used extensively.

A 14-story bank building in downtown Omaha is our exception to small towns. A lot of layers of financing went into making this work. There's a private first mortgage with a Savings and Loan, there's a HUD 312 loan, there's a third and fourth mortgage made available through Community Development Block Grant funds. It was set up in a tax increment district; these tax increment districts encourage development in blighted areas. Instead of paying the increased property taxes that the increased value would generate, you can use that money to re-

some of the up-front costs. So, in this example, before this building was rehabbed it had \$30,000 a year in taxes. After the rehab it was valued at paying \$130,000 a year, so you can capture that \$100,000 a year. There is usually a maximum limit, maybe fifteen years or twenty years, depending on state law. So if you can get \$100,000 a year for fifteen years that's \$1,500,000 with a present value of about \$750,000. You can either sell bonds to do that or you can roll it into a first mortgage—there's several ways to do that once you get it set up. The city has to really want to do this, and you have to work with them, and they have to understand the importance of preserving the historic buildings.

The Osage Hotel in Arkansas City, Kansas sat empty for fifteen or twenty years, I believe as a result of non-payment of county taxes. Farmers Home had never financed a rehab in Kansas before even though they had been contacted by the local mayor and city manager who had heard about some of our North Dakota projects. We explained to them that we would like to use Farmers Home for rehabs in Kansas, however, our conversations with them proved they weren't too excited about getting involved. The city manager and local government organized a luncheon meeting at the country club and invited about fifteen of the community leaders who leaned pretty hard on Farmers Home. At the end of the meeting, the Farmers Home architect in the state, who was a crusty old guy, parted with the comment, "Well I've been gettin' kind of tired of working on that new construction, maybe this will be a little bit of a challenge." That was the turning point, since then, the Kansas Farmers Home office has been one of the best ones to work with on rehabs.

The sign on the top of that Osage Hotel was pink neon. We had to reuse it since it was historically significant. We took the 't',

the 'h', and the 'e' from hotel and called it "The Osage." It has thirty-eight apartments financed with Farmers Home, housing tax credits, and historic tax credits. We needed parking space and since the city owned a parking lot just down the street from the building, we secured guaranteed reserve spaces for fifty years at a one-time payment of \$10,000. This was much cheaper than having to build our own parking lot and maintain it.

The North American Hotel in Ottawa, Kansas was another interesting project. An insurance company out of Kansas City tried to rehab it, had gutted it, then failed to finish it. They wanted an exorbitant price for it: \$165,000. Typically we tell communities that we will pay one dollar for the building and then work together to accomplish the rehab. In this case, the city finally agreed to give the insurance company half of the asking price, then the insurance company took a charitable donation for the remainder, and the city in turn sold it to us for one dollar.

There are other programs coming down the pipe that we're starting to use, such as the Home Program through HUD. It is administered through the states or large cities.

You often have to team up with a Community Housing Development Organization (CHDO), which is a nonprofit that has a certain membership makeup. We've used that program in two cases and we're looking into doing that in Oklahoma on the old Will Rogers Hotel in Claremore. It's a new program and has some real potential.

Almost everything we do is through referrals, many from the National Trust, state historical societies, National Park Service, city managers, and real estate brokers. We also speak at conferences and publish articles. We're happy to check anything in our geographic area. First, we like to take pictures of the building, get an idea of the community makeup and see if there's a need

for housing. We call the local housing authority or the Farmers Home district office, if they verify that there are many vacancies for affordable housing, it obviously doesn't make sense for us to try to create more affordable housing. We then check out the market, the location, and the type of building.

How does it lay out—hotels and hospitals often work well. Big square warehouses with a lot of interior space don't work very well for the kind of program we're doing. The best buildings are those that no one has tried to rehab. Our rule of thumb for a minimum size of building is one that will house twenty-four apartments. The apartments are pretty much traditional size, one bedroom is probably 600-650 square feet, two bedroom 750-800. They are all traditional apartments, a kitchen, bathroom, bedroom, living room, and dining area.

As I said, what I've tried to do today is identify the various programs and resources that we put together. Perhaps these particular programs for affordable housing don't fit your situation, but it's possible that other programs will. Find out what assistance sources are available to you, take advantage of all the sources that can, and be creative in combining these options. We at MetroPlains have a real pride in the end product, and that certainly is easy to do when you're rehabilitating a historic building. ☺

FEDERAL INVESTMENT TAX CREDIT

A. Sayre Hutchison

At the time of the NHL Owners' Meeting, Sayre Hutchison, NCARB, AIA, was an architect with the Rocky Mountain Regional Office of the National Park Service. In that role, he was closely involved with the historic preservation tax incentives program. Hutchison is a licensed architect who has experience with developers and architectural firms in the private sector, and with the Kentucky Heritage Council (State Historic Preservation Office). Currently, he is the lead historical architect for the NPS Colorado Plateau System Support Office.



The topic of this session is the federal preservation tax incentives. At the end of my presentation, I'd like Lane Ittleson, the Deputy Colorado Historic Preservation Officer, to discuss the state preservation tax program.

The reason that Congress created the preservation tax incentives was to promote and encourage the renovation and preservation of historic resources in local communities. A quote that sums this up states, "A community's historic buildings are the tangible links with its past and reflect its unique character; various Federal laws now exist to encourage the preservation of these irreplaceable resources. Since 1976, the Internal Revenue Code has contained incentives to stimulate capital investment in income-producing historic buildings and the revitalization of historic communities." This is the purpose of the program, in brief. It has been a popular program—there have been about 25,000 successful projects since 1978, and I think we'll surpass about 27,000 in 1995.

There are two types of federal tax incentives that are available for historic structures. The first is a 10% tax credit for substantial rehabilitation, for nonresidential purposes, of a non-certified structure. By a non-certified structure I mean a building that is at least fifty years old, and does not contribute to the significance of the designated historic district. This type of project goes directly to the Internal Revenue Service (IRS)—neither the National Park Service nor the State Historic Preservation Office is involved with the project. The IRS does require the building to pass what's called a specified physical test for retention of walls and structures. This means that the IRS will make sure that a substantial amount of the building is retained. The actual amount you receive as a tax credit is calculated as 10% of your total expenditures during rehabilitation of the project.

The second type of tax incentive is a 20% credit, and that is specifically geared for historic structures that are 1) income-producing and 2) are either individually listed on the National Register of Historic Places or contribute to the significance of a local, state, or National Register district. National Historic Landmarks meet the second set of requirements. Both the State Historic Preservation Office and the National Park Service review these projects for compliance with the Secretary of the Interior's "Standards for Rehabilitation" prior to claiming the credits. Organizations that do not pay taxes, like the government or tax exempt entities, are not eligible for the credit. The amount you receive as a tax credit is calculated the same way as the first program, that is, it's 20% of the total cost of the rehabilitation project.

There are three governmental players involved with the 20% tax program. At the state level there is the State Historic Preservation Office (SHPO) which acts as a field representative; the staff works with the owners in preparing the application, advises them how to make the project meet the standards, and conducts site visits. They are the first point of contact. Prior to forwarding the application to the National Park Service they evaluate the project and make recommendations concerning the project status.

The National Park Service (NPS) and the Internal Revenue Service (IRS) are the two federal agencies involved in the partnership. The NPS's role is to 1) confirm that the building is a certified historic structure eligible for tax credits, and 2) to verify that the rehabilitation meets the Secretary of the Interior's "Standards for Rehabilitation." The standards ensure that the character of the building is retained both on the exterior as well as the interior. Once a project has completed this process the owner can claim the credits from the IRS.

What projects are eligible for federal tax credits? Properties which are income-producing, certified historic structures, and have expenditures exceeding the greater of either 1) the adjusted basis of the building (which is the assessed value of the property less the land) or 2) \$5,000. With older structures, the depreciation is such that it doesn't take a lot of expenditure to exceed this number.

As Susan Escherich and Gary Stenson indicated earlier, you can combine various federal tax credits, such as the historic tax credits with federal affordable housing credits. Many times this will affect whether the project will be viable. You can also put those two together with a state credit; for instance, Wisconsin has a 5% credit that they add to the 20% credit. These financial

packages can make the project lucrative. I recommend getting together with your accountant to figure out what package works best for you.

How do you apply for the investment tax credits? First, complete the National Park Service application form and submit it to the State Historic Preservation Office. They review the application, and make a recommendation, which they send, in turn, to our office.

The application has three parts to it. Part 1 is the "Evaluation of Significance." If you're pursuing the 20% credit, Part 1 tells us that your building is within a historic district and that it is contributing to that district. If the building is individually listed on the National Register, it isn't necessary to complete the Part 1 application. Should you decide to claim the 10% credit for a building in an historic district, the Part 1 has to confirm that the structure is *not* contributing to the district. If this cannot be verified then the project can only go through the more rigorous process for the 20% credit. Please keep in mind that the Part 1 application has to be submitted prior to the building being placed in service. If this does not take place then it is likely that the IRS will disallow the credit. There is no review fee for the first part of the application.

Assuming that you want to apply for the 20% credit, you then complete the second part of the application, which is the "Description of Rehabilitation." This clarifies what condition the building is in, and what you work you want to do. Both the SHPO and the NPS review the project. NPS charges a \$250 review fee for the Part 2 application. This must be paid prior to the review taking place. During the review the project is evaluated for compliance with the Secretary of the Interior's Standards for Rehabilitation. Stated simply, these ten standards assure that the character of the

property is preserved. Chris Jones discussed these standards earlier. [The Secretary of the Interior's Standards are reprinted in Appendix 1.] The program does not require restoration; instead it encourages stabilization and adaptive reuse for historic buildings. The NPS recognizes that changes to the buildings will be necessary to accommodate new uses. For instance, you might need to add new electrical and plumbing systems in order meet building codes or it might involve an addition to the building. As long as the character of the property is retained the project will meet the standards. If the state or the NPS doesn't think that your plans meet the standards, we'll work with you to bring them into compliance. Once the Part 2 application is approved you can proceed with the actual rehab.

After the project is complete, Part 3 of the application, "Request for Certification of Completed Work," should be sent to the SHPO. Part 3 states, "We have completed the project as agreed upon in Part 2." Here the owner provides documentation showing the completed work. As with the Part 2, there is a Part 3 review fee that is based on the total rehabilitation cost. If you spend less than \$20,000, then there is no charge. Above that amount there is a sliding scale based on the amount you spent on the project. The maximum that you can be billed for the entire project is \$2,500.

Once the project is approved, the NPS forwards the paperwork to the IRS. Historically there has been a 95% approval rate, so it's likely that your project will be successful. When you file your income tax return, you provide the receipts for rehab expenditures. The general rule of thumb is that anything which is not permanently attached to the building, such as a window air conditioning unit or furniture, is not eligible for the 20% credit. The IRS then determines if the expenditures are qualified for the

purpose of claiming credits. Once all this is done the owner can claim a credit that equals 20% of the qualified expenditures.

There are two different time frames for using the program. The owner can elect to have a straight project, that is, starting and completing the work in a two-year period. If you use this time frame, you can only claim your credits for the money expended in the two-year window. The second type of time allowance is for projects that are fairly large or will take years to complete. Let's say that you might not have all the financing you need, or a part of the job is going to have to wait for other things to happen, then you could select a five-year phased project. Once the Part 2 is approved the clock starts ticking for whichever time frame you select. When you're working with the five-year phased project all phases of work have to meet the standards, as the final evaluation is made based on the total project.

Prior to starting any work we recommend that all owners consult with an accountant and verify if they are financially eligible to take the credits. Unfortunately, we have had several owners that have completed the work only to find out they were unable to claim the credits due to their financial position.

Even though preservation tax incentives have been around since 1976, the IRS has only recently started looking at the project files closely. There have been cases of fraud—in the City of Philadelphia for instance, we know that since 1976, \$200 million dollars have been claimed fraudulently in the tax act program. There has been a problem with the five-year phased projects especially. Many owners have claimed the credits upon completion of each phase, then if they didn't get final approval, the IRS wasn't following through to recapture the funds. Currently, the IRS is training auditors to specialize in the program. They're going

after projects which do not have a signed Part 3 application and yet the credits have been claimed. Regardless of why the owner has not turned in the Part 3 application, it's almost guaranteed that the IRS will audit. We encourage all owners to submit the paper work on a timely basis; this assures smooth sailing.

Once the credits have been claimed the qualified structure has to remain income producing for five years. During the five-year window, the owner is required to submit any additional work or additions to the building to the National Park Service for review and comment. Once the five years are over all restrictions concerning use and changes are removed.

This program has been highly successful over its nineteen-year life span. In addition, it is one of the only remaining federal tax credits still available. We would encourage anyone who is interested to check into the program. It's a win-win situation: the community retains a useful historic resource and the owner receives a financial benefit.

STATE TAX INCENTIVES FOR REHABILITATION

LANE ITTELSON

Deputy Colorado Historic Preservation Officer

I'd like to add a few words to the topic of tax credits. In many cases, states also have tax incentives, in addition to the federal tax credit. State programs will generally have different requirements, so even if you can't claim the federal credit you may be able to claim a state tax credit. For instance, very often states provide credits for other than income-producing properties, such as a private home. In Colorado and New Mexico, you can claim a credit for a rehab of your own primary residence. Some states have thresholds of rehabilitation costs that are

considerably lower than the federal requirement for "substantial rehabilitation" which is quite high. The form the incentive takes varies with the state. Colorado offers a 20% tax credit on state income tax. Some states have property tax incentives such as freezes or abatements. Income tax credits work great if you're paying income tax, if not, they don't do you much good, even if it's a federal credit. I suggest you contact your State Historic Preservation Office to find out about tax incentives in your state. ❧

PRESERVATION EASEMENTS

Lane Ittelson

Lane Ittelson, a planner and architectural historian, is Colorado's Deputy State Historic Preservation Officer. In that role, he has responsibilities in several areas. Ittelson oversees the survey, preservation planning, certified local governments, State Historical Fund grants, and federal and state tax credit programs in the state office. He also has experience in the New Mexico State Historic Preservation Office, and was executive director of Historic Denver, Inc.



Easements are a very powerful preservation tool. If any of you are trying to guarantee the preservation of your property after you no longer own it, granting an easement on it may be the best way to do it.

If you sell your property, or if you were to die, who's to say that whoever takes over your property is going to have the same values that you do? If you want to ensure the continuation of your preservation values, there are a couple of ways you can do it. One is through the donation of an easement to another organization, which creates a tax deduction opportunity. Another option is writing a covenant which requires preservation into the deed to your property. The problem with covenants, or deed restrictions, is that they're not as clearly enforceable as easements. It's likely that only the subsequent owners will be aware of the covenant. If the new owner violates the covenant, it's possible that no one will realize it—or maybe observers will just scratch their heads and wonder who should do something about it. With easements, it's much clearer, much more specific. The responsibilities of both parties are clearly outlined.

The term easements is probably something people have heard, but don't understand very well. An easement is an interest in real property. The term "qualified real property interests" as used by the Internal Revenue Service (IRS) refers to easements. Real estate professionals talk about the ownership of real estate being like owning a bundle of sticks with each stick representing a particular interest, or right, in that property. For example, you might be a property owner who owns the land and the buildings on it, but not the mineral rights. In this case, you do not have the stick representing the mineral rights—it is held by someone else. You own most of the bundle, but not the whole bundle. Or, as another example, you could own the land and the mineral rights, but your grandfather may have given your neighbor a right-of-way across the property. Another stick is missing from your bundle.

Most people know the term easements through its association with rights-of-way. Utilities, driveways, access from one property to another—those are often easements. They are certain interests in your property that were given at some point in the past to some other entity—perhaps a utility company or a neighbor who needed to get to his property through yours. Those type of easements are a type that are pretty familiar to people; they are called appurtenant easements because they are an appurtenance to another, adjoining piece of property; they are usually granted to adjacent land holders.

There's another type of easement which is technically called an "easements in gross"—that's the legal term. For our purposes, the most general term used for these easements is "conservation easements." Like a right-of-way easement, it is an interest,

or right, in your property that you give to another party. But rather than giving someone else the right to cross your land, you are giving up the right to make certain changes to your property.

A term commonly used for easements on historic buildings is "facade easement." You might have heard that term. It's partially a misnomer because you don't give an easement on only the facade—the front exterior—of the building; you usually give it on the entire exterior. When you give a facade easement, you give up the right to make changes to the exterior of your building. You give this right to another entity, organization, or government agency.

As I mentioned earlier, a similar sort of concept, which a lot of folks have heard of, are covenants or deed restrictions such as those found when buying a property in a subdivision. These covenants may stipulate that you only do certain things to the outside of your house, and that there are certain things you can't do. An easement isn't very different from that. The main difference is that an easement takes the form of a separately granted deed to another party rather than being a part of your warrant deed or main title to your property. The easement will say that you have to get approval from the entity owning the easement to make certain changes. You specify exactly what property rights you're giving to that organization; it's usually a fairly lengthy document that specifies what sorts of things you can and cannot do to your property, and what sorts of things that entity has to review if you want to make changes to your property. Generally it covers the entire exterior. If you want to install new windows or doors, rebuild a porch, replace the roof, put up a sign, or any of the sort of things that would alter the building's appearance, you have to get the approval of the organization that holds the easement. It doesn't say you

can't ever make those changes, but it says those changes have to conform to certain standards; usually it is the Secretary of the Interior's Standards for Rehabilitation that are cited [see Appendix 1]. The wording could be more restrictive. It could say that you may never add to the height of the building, or that you could never add any other buildings to this parcel, or it might allow certain other buildings to be built on the lot. The terms are negotiated with the organization to which you are donating the easement. So, it's not generic, you can't say that easements always do this or that; each is a matter of negotiation, and they vary quite a bit. Some easements can include interiors—generally they don't—but they can include interior spaces as well.

A conservation, or facade, easement is the only way to guarantee preservation in perpetuity. Federal programs don't offer any kind of protection. Local programs that have protection could disappear depending on the politics of the area. An easement transfers with the land. For anybody who purchases that property, their children or their children's children, that easement will always restrict that property.

The key financial incentive for donating a preservation easement is that the IRS allows you to claim a tax deduction for the donation of these "partial interests in real property." The IRS considers giving an easement to be a charitable contribution, but they require preservation easements to be perpetual. The amount of the tax deduction that is allowed can vary tremendously. Essentially, the IRS recognizes that when you give up these rights you're giving up value in your property since the value of your property will probably decrease as a result of the easement donation. Use common sense to think about it—you have two identical buildings, one that has all these restrictions on it with an organization that has to give you approval every time you

want to make a change to your building, compared to another identical building that has no restrictions. I think you would agree that most buyers would be willing to pay more for the one with no restrictions than they would for the one with all those restrictions.

The problem is determining that difference in value; it is very difficult. Right now, if you own a piece of property worth \$80,000, and you want to give that property to a charitable organization, you could just deed it over for nothing to that organization, and take an \$80,000 tax deduction. But you would no longer own the building. What a preservation easement allows you to do is keep the title to your property so you can continue to use the building, live in it, maintain it, but give away a partial interest in that property—the easement. That represents a much smaller interest, or portion, of the total property. To determine what the value of that interest is, you will need a certified property appraiser. Your appraiser will need to first determine the fair market value of the unencumbered property before you donate the easement. Then you donate the easement and immediately thereafter your appraiser does another valuation of the property with that easement given away. The problem is that appraisers know fair market value through comparable sales of similar properties. It's hard enough to do that with a typical piece of real estate, but it's even more difficult for unique historic properties. Then you add on top of that, a piece of real estate with an easement on it. Finding comparable properties can become very difficult, if not impossible. It becomes a matter of finessing and having an appraiser do the best job he or she can in determining that value.

Some people claim to have 70, 80, even 90% reductions in values as a result of easements, but the IRS has challenged a lot of those. There have been a number of tax court

cases over the years and generally—now this is only a rule of thumb, and you should talk to your accountant and get an appraiser to look at the specifics of your property—but, generally, it seems that the tax courts have, at a minimum, sustained a 10% decrease in value as a result of preservation easements.

So, as a rule of thumb and for a conservative estimate—10%. But it depends on the situation. If you have a small, two-story building in downtown Denver, for example, where zoning allows you to build a fifty-story skyscraper, your land value may be \$200/square foot for open land. Obviously if you have a two-story building with a perpetual easement on it, you're never going to get that kind of value out of the property. So it could be a very direct correlation between the easement preventing that building from ever being torn down, versus another identical building that could be torn down to sell the land, which would be worth a lot more based on its development potential. Valuation is fairly easy in those kinds of circumstances. Most others aren't that simple.

In order to qualify for the tax deduction, there are four things you have to do. First, your property has to be a certified historic structure—either individually listed on the National Register of Historic Places or contributing to a National Register historic district. As owners of NHLs, you have that requirement licked. Second, you have to give, or freely donate, a perpetual easement; in other words, you can't give the easement in exchange for money or something of value. Third, you have to donate it to a qualified organization. That could be a city or municipality that has a historic landmarking program, or it could be a private preservation organization. The Colorado Historical Society is a state agency; we have a sister organization called the Colorado Historical Foundation which accepts easements

anywhere in the state of Colorado. In Denver, Historic Denver, Inc. also accepts these types of easements. It's not to your local church or your local Salvation Army; it has to be a preservation organization which holds easements on historic properties. They're considered by the IRS to be 501(c)(3) charitable organizations. Charitable doesn't necessarily mean giving money to the poor, it can mean preserving historic buildings. Fourth, and finally, you must have a qualified appraiser determine the value of the easement, as we discussed earlier.

Although an easement is considered interest in real property and it's considered a charitable contribution, it doesn't have value for the organization holding the easement. It's not something you can transfer or sell; as a matter of fact, it's not an asset at all; it's more of a liability because the easement-holding organization has the perpetual responsibility for monitoring and enforcing the terms of the easement.

I want to mention several factors on the downside of easements, so you understand the full picture. First, remember that the IRS requires that easements be perpetual. Someone might decide they want a tax break, so they donate an easement to an organization. Five years later, they're going bankrupt, the economy's in the pits and they want to get out of it. You can't get out of it, it's not possible. An easement is forever, it's not reversible.

Also, easements decrease the value of your property. The reason for the tax deduction is because you give away some of the value of your property. You don't get something for nothing.

There is also a hassle factor involved, since the owner has to obtain approvals. For example, you may have donated an easement on a building that is a local landmark. So, if you want to make some alterations to your

building, you may already have to go through your local preservation commission for approval, and then you have to get a separate approval from the organization holding the easement. And the two entities may not always agree, so there are more hassles.

In addition, when you give away an easement, you also have to give away some money for the up-front fees, or for an endowment contribution as it is sometimes called. That cost can vary from about \$5,000 to over \$30,000. Having to pay to donate an easement surprises some people, and it may sound a little funny. I mentioned earlier that an easement is a liability for the easement-holding organization. When you donate an easement, you may be giving up value in your property, but you are not giving away anything that can ever be sold or converted to something of value. As I said earlier, you actually are giving a liability to the easement-holding organization. You are giving them something that represents an ongoing—in fact perpetual—cost to that organization. I think many of these organizations started out by thinking what a great preservation tool easements were, and welcomed easements. Then the organizations discovered that with all these easements they had to find somebody to monitor them, review proposals for alterations, and enforce them—in the courts if necessary. As a result, most easement-holding organizations now assess fees for accepting easements. As I said earlier these costs can be substantial.

If you have a property that's worth \$100,000 you probably don't want to think about donating an easement because the cost of the donation will probably exceed the tax savings. We usually think of about \$500,000 being the break-even point. And that's just in terms of saving money in taxes, that's not calculating what you're going to lose in the value of the property. Let's go through an example. If you have property that's worth

\$1,000,000, your easement value and resulting tax deduction might be \$100,000. You will have some up front fees you'll pay—maybe \$10,000 in fees—so you have to factor in that expense. Remember the IRS will allow you a tax deduction, not a tax credit. Tax credits represent a dollar-for-dollar reduction of taxes owed; tax deductions save you money based on your marginal tax rate—let's figure it's about 33% for this example. So your \$100,000 deduction translates into \$33,000 in tax savings, and you spent \$10,000 in fees, so you have a \$23,000 actual savings. If you don't pay taxes at that level, then it will be less. But if you have fairly high taxes and your property is worth several hundred thousand dollars or more, the savings could be significant. Also, as with any kind of charitable deduction, you don't have to take the full amount the first year, you can carry it forward. So, if you have \$100,000 in tax deductions, you don't have to take the \$100,000 all in one year, you can carry it forward.

Let me spend just a few minutes talking to you as the administrator of the Colorado Historical Foundation's easement program, assuming you want to donate an easement to us. First, we always negotiate the terms of the donation. If you don't have any plans to do something to the property, the terms are usually fairly generic. During negotiations, we might say, "We want this" and you or your attorney might come back and say, "No, we want that." Then the two attorneys work it out and come up with something on which they both agree. One of the things that we make non-negotiable is that any changes to the building that aren't spelled out in the easement must be approved by the foundation. We also require that those changes meet the Secretary of the Interior's Standards for Rehabilitation. The resulting document is called a deed of easement. Our deeds of easements are usually thirty pages

long and include photographs of the exterior taken at the time of the donation.

It often takes us more time to maintain and enforce these easements after the property has been sold two or three times since we received the easement. The new owner often couldn't care less about it and just considers the easement a problem and wishes it would go away. They may want to make some major changes to the building, so we have a problem. We have to enforce the terms of the easement. Fortunately, we have *pro bono* attorneys working for us, we had to file suit on one occasion to enforce the preservation easement. We got a court-ordered settlement to force them to meet the terms of the easement.

If you're planning on selling the property immediately, it makes no sense at all to donate an easement if you're doing it only for the tax savings. If your easement is worth \$100,000, then you're going to get \$100,000 less for your property. Since your tax savings is only a third of that amount, you will be taking a big hit. It starts to make financial sense if you're going to hold on to the property for a while.

Where it really makes sense is if, in your heart, you really want to preserve that property. If you don't, it's probably not worth the headaches in the end. You should do it because you want to make sure that some future property owner will not tear down the building, and that it will still be there for your great great grandchildren to see—that's the real reason for donating an easement. The tax deduction is really just a little bit of an extra incentive. 



Ulysses S. Grant met and courted his wife at White Haven National Historic Landmark in Grantwood Village, Missouri. The couple had a long and close association with the home.

Historic American Buildings Survey Library of Congress. Lester Jones, photographer, 1940.

FUND RAISING: THE BASICS

T. Scott Smith

T. Scott Smith, principal of Full Circle Consulting, is an organizational development consultant in private practice. He has been involved with nonprofit organizations for twenty-eight years. At time of his presentation, he was the chairman of the Colorado Chapter of the National Society of Fund Raising Executives.



Ellen Fisher from the Gates Foundation and I are going to do a tag team match. We're going to go over a couple of real simple things here. My major goal is for you to leave this conference knowing that you can do private sector fund raising. This is not magic, and it's not high art. Okay, I don't want you to go back and say, "Well the guy said it was easy." I *didn't* say it was easy. For those of you who have done fund raising, you know that it is a royal pain. And probably, all things being equal, what it requires more than anything else is tenacity. Stick-to-itiveness. It is hard work. It is not some genetic gift that one is born with: if you have the gene you can do fund raising, and if you do not have that gene you can't do it.

Plus, learning fund raising isn't about going to the Harvard Fund Raising School or something like that. In fact, it's nothing like that. You ought to know, most fund raisers are self taught—we just sort of picked it up. I've been messing around with nonprofits for quite a few years; about half the time I was doing fund raising, the rest of the time I was doing program development or management. I've always thought of myself as a program guy, who did fund raising because you had to do fund raising—you couldn't do your programs if you had no money. So, I'm not one of those silver bullet kind of fund raisers,

and you ought to know that. If I can do fund raising, anybody can do it. I just picked it up along the way from folks who were kind enough to teach me what they knew.

There are three basic sources of private sector philanthropy. The first is businesses and corporations; second is private foundations, like the Gates Foundation where Ellen Fisher works. The third source is individuals. So you have those three basic sources. It's useful to break out individual giving into two categories: gifts you receive now or gifts you receive in a future bequest. In 1992, corporations gave away about \$6 billion. A measly \$6 billion—about 4.8% of all that was given. Foundations did a little better—they gave away about \$8.4 billion, about 6.7% of what was given away. But through bequests, major gifts and annual gifts, individuals gave away almost \$110 billion! That's 88.5% of all the money that was given away. Individuals—that's where all the money is. So that's why I'm going talk about some individual fund raising techniques.

Where does this philanthropy go? The largest amount, about 45% of it, goes to religion. Now that may give you a clue right now: do any of you want to reincorporate as a religion? Besides, you can be a bishop, or a cardinal. Education gets the next highest amount—about 11%. Human services gets 9.3%, that's about \$11 billion. Health gets 8.2% and next is arts, culture, and humanities, which receives about 7.5%. Then it falls off from there: environment and wildlife get about 2%, international programs get 1.4 and there's a category called miscellaneous which actually gets 10%.

Logic would say, "Don't we fit into arts, culture, and humanities?" The truth is you

want to try to fit into as many of these categories as possible. A lot of the sources may relate to you, if you're creative.

I believe there is a big movement—perhaps an international conspiracy—to make fund raising seem as complicated as possible. Maybe this is to scare the average person out of the business so that “professional” people like me can make a living. I keep trying to

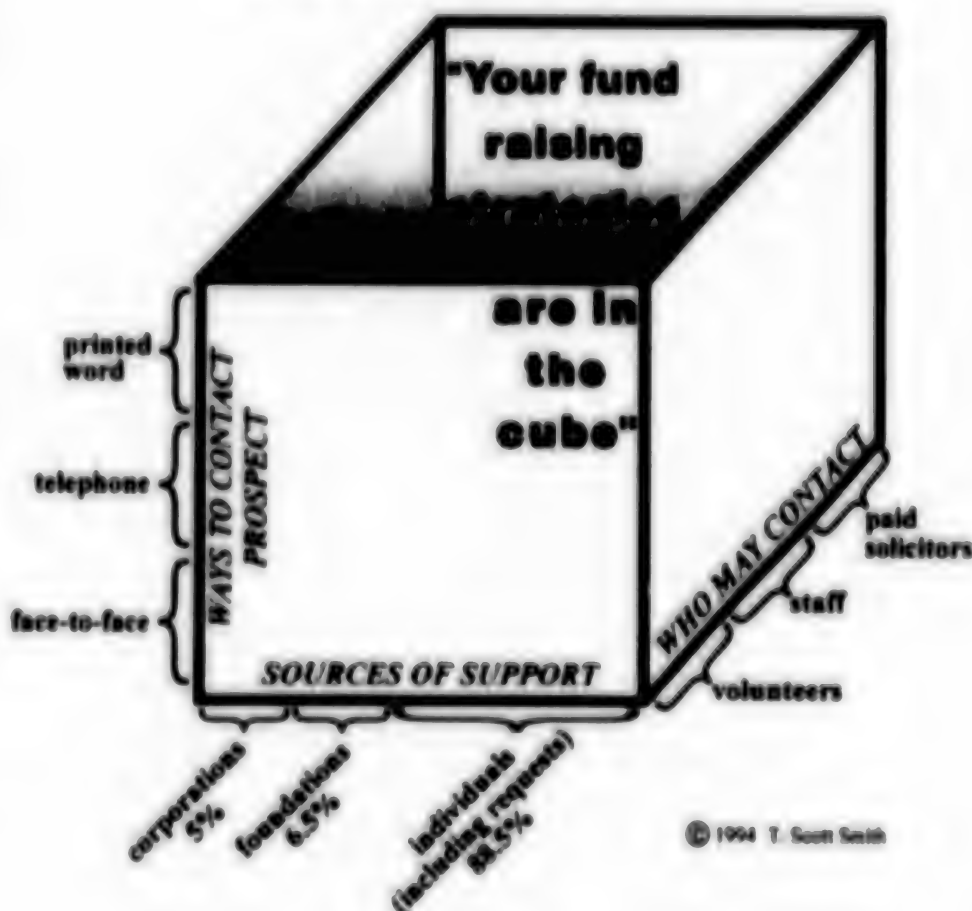
move fund raising in the other direction. I want to make it seem simple, because I think this is a fairly simple business.

As a matter of fact, my wife Freddi and I used to have a Brownie troop, and they sang a song at the end of every meeting which actually says almost everything you need to know about fund raising. The song goes: “Make new friends and keep the old, one is silver and the other is gold.” I’m here to tell you, that’s the whole concept—the rest is execution.

I want to show you one other thing. This is the fund raising cube. I invented this because I’m a visual learner. There are three sources of fund raising—we’ve already talked about that—individuals, foundations, and

corporations. There are only three ways you can talk to those people. You can do it through print media—like letters, brochures, or proposals. Second, you’ve got the telephone and you can call. You can call them one at a time, or you can call them in a phonathon. Somewhere in here is probably where the fax machine falls, I put faxes in the print media category myself because the end

The Fund Raising Cube



product is words on a page. Third is face to face, which can get a little more complicated. You can have a lot of people together—a group event—so you’re face-to-face with them, but you only have two minutes with each person. Or I can go to your office or to your house and we sit down and talk. But those three ways are it. Print, telephone, or

face-to-face. So now we have *where* you get the money, and *how* you can make contact with these people. The third variable is: who is going to use these vehicles to talk to these folks? Who is going to make the ask? The staff of your organization is one probability. At a lot of the organizations I've been with, I was the staff, so I was it. But if you have other people, they can ask too. You can have paid solicitors—individuals or companies that ask for money on your behalf. I don't recommend this approach but you can do it. Or volunteers of some kind—volunteers can be members of your board, they can be friends of your organization, they can be part of your auxiliary, they can be other donors; that's about it. So, your nonprofit's fund raising plan will be some combination or combinations of the elements of the fund raising cube.

I want to share some basic rules which I consider "the rules of the cube." *First, the bigger the gift, the more specific the project.* This means if you're asking for general operating support, you will usually get a small gift. If you are asking for a bigger gift, you must be more specific about how you're going to use the money. *Second, the larger the gift, the more time and labor intensive it is to acquire the gift.* That is, securing a large gift may require months—even years—of donor cultivation. *Third, the bigger the gift, the more direct, face-to-face contact with the individual or foundation is required.*

Prospective donors are called "prospects" in the business. Foundations, corporations, and individuals start as prospects. Prospect research is very important. There's a whole industry that generates books, pamphlets and computerized documents about where you can get money from foundations and businesses. One of the principal sources of information about corporate or foundation prospects is the Foundation Center, a nonprofit organization

in New York City. They have regional collections in libraries, because if it was all in New York City, it wouldn't be of any value to most of us. These regional collections vary, but generally they have two or three different kinds of documents in them. One is all the stuff the Foundation Center produces. One such publication is the *Foundation Directory*. It lists all the foundations and what they give to; it's organized by state. The Center also provides computer sorts which give prospect information by subject matter, by region, by whatever. Another thing the Foundation Center regional collections will generally have is material from a private company called Taft, which provides some foundation information, but specializes in companies. Between the Foundation Center material and the Taft material—and there are other companies that also do provide similar material—one of these libraries will have enough prospect research materials to *get you started*. And I emphasize that it only *gets you started*. It's sort of like peeling an onion—someone gives you a little bit on a foundation or corporation, and what you need to do is find other documents giving more information. The first level of research gives you clues; you can't go asking for money based on these clues. Most foundations and most huge corporations publish guidelines that specify how you are to submit a proposal. They also usually publish annual reports. These are valuable because they tell you two things. One, they talk a lot about themselves; they talk about what they really care about—sometimes in a lot of detail. Two, many of them will show what grants they actually made so you know what they've been funding. That's useful because you can contact an organization that already received a grant from the XYZ Foundation and ask "What's it like to work with the XYZ Foundation?" Most of them will share that information. So it's fair to ask those kinds of questions. Be sure to look at the grants the

corporation or foundation actually made because that tells you what they care about and the size grants they make in various areas.

A long time ago a health organization hired me to write proposals for them. But our problem wasn't writing good proposals; in fact we wrote fine proposals. The problem was we had no idea where to send them. We would look in the *Foundation Directory* and we'd see a little foundation in New Jersey that listed one of their interests as "health" so my organization would send them a proposal. Had we done our homework, we would have learned that the little foundation in New Jersey actually only cared about one hospital that was eight blocks up the street. We were wasting our time, paper and postage; and we wasted a lot of it. The lesson is: you must focus on the prospects who conceivably could fund you, who have a potential interest in you. If the funding source doesn't have an interest in your type of project, or your mission, your geographical area, you're not going to convert them. They are not a prospect for you.

I did a lot of political work in the first half of my career in nonprofits trying to fix state government. I learned a lot from one of the state politicians (a Democrat), who said, "The way you win elections is to make sure that all your Democrats are registered and have a ride to the polls before you try to convert the Republicans." And this is the same situation in fund raising. Make sure that you have really looked at, explored, identified, and started into dialogue with the people who would be interested in funding your program before you try to convert a foundation or corporation who cares about something else. You're not going to change their minds, and there are too many prospects out there who *do* care about your work. The trick is to find them.

At this point Ellen Fisher will talk about foundations. She works for the Gates Foundation here in Colorado so she has some inside information. Then I'll come back to talk to you about corporate and individual fund raising. ☺

FUND RAISING: FOUNDATIONS

Ellen Fisher

Ellen Fisher brings a special blend of skills to her presentation. She is currently a program officer with the Gates Foundation in Denver, Colorado. In addition, Fisher is a historian and an archivist, and has taught those subjects in the History Department at the University of Colorado-Denver. Fisher was also director of the Molly Brown House, a house museum owned by Historic Denver, Inc.



It's nice to see all of you. I have a list of where you're from and the types of places you represent, and it's a great variety. I'm going to make my comments very general so they should apply to all of you no matter what state you're from or what your project is.

When I first started working at the Gates Foundation, Mr. Gates said, "Remember, we do not give away money, we invest it." That was a very important point; he even asks the staff to say that we do not give away money. Because we invest it we want the very best return for our investment. As you can imagine, we get many requests—we get about 800 requests a year and we're able to fund about 80 of those requests. We distribute over \$5 million so there's never enough to go around. We always have wonderful proposals, but we have to decide which are the best to provide a return on that investment.

Why would a foundation invest in historic preservation? Why would that be a good investment? First, it's because the Gates Foundation, and other foundations that care about historic preservation, care about heritage and the built environment. They think it's important to preserve what has gone

before, they believe that we as human beings have an important emotional link to our past, and that preservation is important for any community and what goes ahead of it.

But usually a foundation will not preserve something just for the sake of preservation. What else can you do with this building or piece of land? That's what all of you have to figure out. How you can make it useful. We're often looking for economic development: how can you use this structure to help the community with its economic development? How can you find a different use for it? So don't just say, "This is a wonderful building, it was built at the turn of the century, it has important architecture, the architect has very few examples saved." We want to know what use you will make of that building.

So, number one, the importance of the building or the land, and then second, what can you do with it. And then the third would be to find a home for another organization. So often when our foundation funds a project, an arts organization, or community service organization, or health department can use a historic building for their own. So you help, perhaps a health service, you help preserve the architecture, and you help the community. That match is what we consider a really good return on our investment.

What do we look for in an application? First of all, we want to know that you know what you're doing. For example, how many of you can say your mission statement? Even if some of you are private owners, you're not a nonprofit, you should be able to say why you're raising money for that particular structure. Are you going to return it to its former beauty? Are you going to just preserve the exterior? What are you going to

do with the interior? Who's going to benefit from it? So in one or two sentences you should be able to tell the foundation what you're going to do. A great mission statement in one sentence—that's something to work on. It's really important for you to be able to communicate it and convince people. If you're a nonprofit, your board members should all be able to say it, as well as your staff.

What I'd like to do now is go through a Common Grant Application. This is the application that almost all the foundations in Colorado accept. Even though this particular one applies to Colorado, I think you'll find that most foundations, corporations, and even individuals will expect you to know the information requested here. Aside from the cover letter, the first item is organization summary. This is a little bit like what I was asking you for in a mission statement. This sums up your organization, so a foundation can see exactly who you are and what you're doing. Your organization name—see if we are familiar with that—who's the executive director—sometimes there's a different contact person than the executive director—and then the purpose of the grant. In our annual report we say that we don't give operating funds, and yet we get a lot of requests for operating funds. The summary is a quick way for us to see if your interests fit within our major current interests.

Then a brief description of the request. Can each of you condense your request into four lines? You need to be able to do that. It's kind of a test—you have to get past this before we go on to anything else. Next it asks for your fiscal year end, and the amount of the request. Then, we ask for those two signatures. If you're a nonprofit, we want to know if it's just the staff that has this wonderful idea or if the board is there with them. One of the things we look at is board/staff dynamics. We try to figure that

out and the signatures are an indication. We feel very strongly about the responsibility of the board—how seriously does the board get involved in projects and funding, does the board just come to lunch once a month and the staff make all of the decisions? Foundations are not going to bail out nonprofits that are in trouble because of a weak board.

Then we ask for the budget. I know sometimes this is difficult to fill out. If you're asking for \$500,000 to restore a Victorian mansion, we want to know your major categories. How much are you spending on the architect, how much on fund raising, how much on contingency, how much on electrical, so that we know you haven't just said, "You know I think this is going to cost half a million dollars." I know that many contractors won't bid out a job until you have some money, so you may have an architect or someone with experience do the estimate.

Next we ask what funds are available. This tells us a lot more than it may appear to. We like to find a good mix of sources. Some people call us and say, "We have a million dollar project, we have a \$500,000 grant from the government and now we're going to ask five foundations for \$100,000." And our trustees say, "Wait a minute, what about the community, what about the people who are going to be helped by this?" Saying that they don't have any money is not persuasive to our trustees. They want as much involvement as you can get. Are your board of directors willing to contribute to this? If they're not, why not? Why should they be on a board if they're not willing to contribute for something? Now I know that some organizations have a lot of properties and it's probably not realistic to ask the trustees to support each project they do, but close. We really expect a lot from the trustees. That doesn't mean you have to have deep pockets.

COMMON GRANT APPLICATION

- A. **COVER LETTER.** One page tailored to address the interests and specific priorities of the funding source and amount requested.
- B. **SUMMARY OF APPLICANT ORGANIZATION** (Use attached form)
- C. **NARRATIVE** (preferred length not to exceed three pages)
Include the following information in any order:
1. **Agency information.**
 - a. Mission statement, brief statement of organization's goals, and/or objectives;
 - b. Brief summary of organization's history;
 - c. Description of current programs, activities, and accomplishments.
 2. **Purpose of Grant.** This section should include the following:
 - a. Brief statement of the issue to be addressed; description of constituency served (include number served); target population; how will they benefit?
 - b. Description of goals and objectives for the purpose of the grant;
 - c. Description of activities planned to accomplish these goals; is this a new or ongoing activity on the part of sponsoring organization?
 - d. Timetable for implementation (if for specific program or capital project);
 - e. Other organizations, if any, participating in the activity;
 - f. Long term sources/strategies for funding at end of grant period.
 3. **Evaluation.** Please discuss:
 - a. Expected results during the funding period;
 - b. How you would define and measure success;
 - c. How will project's results be used and/or disseminated?
- D. **ATTACHMENTS.** Please attach the following:
1. **Board of Directors**
 - a. Occupations and/or community affiliations;
 - b. Antidiscrimination statement adopted by board;
 2. List of names and qualifications of key staff;
 3. Most recent fiscal year-end financial statements (audited if available);
 4. Current agency budget;
 5. Annual report (if available);
 6. Program/project budget (if applicable);
 7. A copy of the original IRS determination letter indicating 501(c) (3) or 509(a) tax exempt status;
 8. List of major contributors to organization/program (if applicable);
 9. List of volunteer involvement and in-kind contributions.

ORGANIZATION SUMMARY

ORGANIZATION NAME: _____

ADDRESS: _____

EXECUTIVE DIRECTOR: _____

CONTACT PERSON (If other than Executive Director): _____

(Name)

(Title)

PHONE: Office _____

Fax _____

PURPOSE OF GRANT:

- ☐ General operating (support for the organization as a whole)
- ☐ Special program/project (specific activity of the organization consistent with its mission)
- ☐ Capital expenditure (funds spent for additions or improvements to plant or equipment)
- ☐ Start-up costs
- ☐ Endowment
- ☐ Technical assistance
- ☐ Other

BRIEF DESCRIPTION OF REQUEST: _____

FISCAL YEAR END: _____

AMOUNT OF REQUEST: \$ _____

Signature, President, Board of Directors

Date

Signature, Executive Director

Date



PROGRAM/PROJECT BUDGET

PROGRAM NAME
(Not applicable for general operating expenses)

Itemize:

_____	\$ _____
_____	\$ _____
_____	\$ _____
_____	\$ _____
_____	\$ _____
_____	\$ _____
_____	\$ _____
_____	\$ _____
_____	\$ _____
_____	\$ _____
_____	\$ _____
_____	\$ _____
Total Cost (A)	\$ _____

Funds Available For Program:
Gifts & Grants/pledged or paid

Trustees	\$ _____
Corporations	\$ _____
Foundations	\$ _____
Individuals	\$ _____
Government	\$ _____
Other (Earned income, special events membership, subscriptions, etc.)	\$ _____
Total Funds Available (B)	\$ _____
Balance Required (A minus B)	\$ _____
Amount Requested	\$ _____

We would rather see 100% of the board members participate at whatever level. When I was the director of the Molly Brown House, the woman who did our house cleaning gave something like \$15. That was fine, that was what she could afford—but we said 100% of the staff and the board have participated in this campaign.

Corporations are another source of funding we like to see on applications. If restoring a building will help a community or downtown area, the businesses are going to benefit. Are they involved? How many are involved? If not, why? Then we also want to know about other foundations. Are there some that already contribute? If somebody is definitely missing—like if the El Pomar Foundation is missing in Colorado Springs—I want to know why, because El Pomar supports that area so much. The Gates Foundation does so much in historic preservation that many other foundations will say, "Have you gone to Gates, and if they've turned you down, why did they turn you down?"

Individuals, as Scott said, are your biggest source, surprisingly enough. I know the temptation is to look at a foundation or a government entity and say, "They have so much to invest, why shouldn't we just do one-stop shopping there and avoid having to ask 100 individuals." We at the foundation expect the individuals—especially those who will benefit—to contribute. Although we like to see that you have government funds, the Gates Foundation usually will not match government funds—of course all foundations are different.

Our funding formula is pretty clear, we generally invest 5 to 10% of the private funds needed. So if you have to raise \$500,000 from private sources, our share would be 5 to 10% of that. Usually it's challenge grant; we will make the commitment up front but you won't get our money until you raise all the

money. It's a safety factor, and many other foundations will do that. There are some foundations who enjoy giving "seed" money, to be the first one on board. That's part of your research, to figure out what foundations like to do. When I was at the Molly Brown House, I called one foundation and they said, "You're too far along in the process, you should have asked us earlier." It's very important to figure that out.

We want to know your total funds available, the balance required, and then the amount requested from us. At Gates, it doesn't matter how much you ask from us, unless it's unrealistic, because we do have a funding formula. But if you do your research and look at a small foundation and the largest grant that they've ever given is \$10,000 and you're asking for \$50,000, it isn't good. It's a signal that you haven't done your homework so be careful of that, do your research and figure out what a reasonable kind of grant request would be.

Next we ask for a narrative, preferably not to exceed three pages. You would be shocked at how many thirty-eight-page proposals that I get, and the request is actually found in the last page. We do read them all, but we send them back and say, "Please give us a three-page summary." You can be much more convincing in two or three pages that you can in thirty-eight. I know there's this fear that you can't explain everything that's important so briefly, but if you try, you'll do a better job than if you just include everything.

Now we move on to the next section of the application. Mission statement: you'll notice that that's right up there on the application, item number 1A, so you know how important our foundation believes this is. I think government, and individuals, and other foundations feel just as strongly.

Next provide a brief summary of the organization's history. How long have you

been around? What have you done? What are you going to do in the future? Then describe current projects, activities, and accomplishments. And, as you'll notice, this format that I'm describing is both for capital projects as well as program and operating so it has to be fairly general.

Then the purpose of the grant. Even if you're asking for operating costs, you have to know exactly why you're requesting money—not just a broad, motherhood and apple pie kind of statement. So give a brief statement of the issue to be addressed, a description of the constituency served, include the number served, the target population, how will they benefit, all in just a couple of sentences. Describe the goals and objectives for the grant. Is it to help economic development, is it to provide a home for a very important service in the community? Is it to preserve the architecture, is it to preserve land? The Nature Conservancy, for example, is trying to preserve the Carpenter Ranch on the Yampa River here in Colorado. They are going to maintain it as a working ranch so they can show how a working ranch can be compatible with the environment. They can spell out a couple of goals there: land preservation goals, economic goals, architectural goals, and environmental goals. So point those out.

Next we ask you to describe the activities planned to accomplish these goals. Is this a new or on-going activity? For example, the Kit Carson County Carousel NHL does things in stages, so it may be the fourth in a series of projects. Provide the timetable for implementation. Some of you will have limited fund raising ability, so you will have to divide your project in phases and raise your money for a logical phase and give the timetable for that, and then go on to other stages. I think most foundations understand that and will give you a grant for a phase. What other organizations, if any, are

participating in the activities? The Chamber of Commerce, the city council, arts groups—who else has an investment in this?

Then we ask for the long term sources and strategies for funding at the end of the grant period. A foundation doesn't want to give a grant if that organization cannot support itself in the future. That's just unwise use of money. We want to know how that building is going to be maintained in the future. What's the earned income or the source of grants. Is the city going to take it over?

Then, evaluation—how will you define and measure success? This is becoming increasingly important, and I know government entities feel the same way. With the scarcity of money, evaluation is really tough. We look for two types of measurements. First, monitoring and tracking, which means, for instance, did the construction take place the way you said it would. But the second type is becoming increasingly more important: what is the impact? That's so much harder to measure. We don't just want the easy objective things, but the subjective things as well. How will projects results be used and disseminated? Can you help anybody else? If you do a great job of restoring the building, are you willing to pass on your tricks of the trade to somebody else? Then that leverages our money, it means that it goes farther.

Finally, the attachments. Number one, we want to know about the board of directors: what are their occupations and their community affiliations? That doesn't mean they have to have a great list of college degrees, but rather do you have a good mix on your board? Are they appropriate? Is the membership balanced? Include an anti-discrimination statement adopted by the board. Attach a list of names and qualifications of the key staff. Do you have people overseeing the project who are well

trained and experienced? Submit financial statements for the most recent fiscal years; we like to look back a couple of years to see how your finances are going. Have you been operating in the red for a couple of years? Also include current agency budgets, an annual report if available, program/project budget if applicable, a copy of your IRS status letter because as foundations we can't contribute without that. Attach a list of major contributors to organizations or programs; we like to know who contributes to you year after year. And then the list of volunteer involvement and "in-kind" contributions, that's very important. Do you have some support from people who care about your project enough that they will volunteer for it?

As for feedback on your application, some foundations will do this, and some don't. It often depends on the staffing situation. Our foundation has enough staff that we can do that. If it's a small foundation and there's no paid staff, they just can't do it.

But we are honest and people compliment us on our honesty, sometimes they say brutality, but anyway, we'll tell you. Ask the foundation why you didn't receive the grant, and if they say something general like, "We get too many good proposals and have too little money" and they won't go beyond that then they probably won't tell you specifically why your proposal didn't get funded. It's similar to applying for a job, some people will actually level with you about why you didn't get that job, and others won't, so it just depends on the foundation. It's certainly worth a phone call to ask.

I think that if you can answer all the questions on this Colorado form, no matter what state you're from, and you fill out a budget, you're in good shape no matter who you're going to approach. Now I'm going to turn it over to Scott again. 



The first bridge to make extensive use of steel, the Eads Bridge National Historic Landmark spans the Mississippi River between Illinois and St. Louis, Missouri. The construction of the structure, begun in 1867, demonstrated numerous historic engineering achievements.

Historic American Engineering Record, Library of Congress. Tony Carosella, photographer, 1990

FUND RAISING: CORPORATIONS AND INDIVIDUALS

T. Scott Smith

First, I want to add a couple of comments to what Ellen said, based on my experience as an applicant. I've done projects nationally, internationally, and in the state of Colorado so I think I've got a fairly wide perspective.

I agree with her. You can use the common grant form that we use in Colorado as a good way to organize your thoughts about your project. It's useful even if the particular foundation that you're submitting has its own format. One of the reasons why you want to get your prospect's annual report is, they may say, "We *suggest* you submit the following items in your proposal in this particular order." Let me tell you something: that is *not* a *suggestion*. The prospect has thought hard about what they want, they've gone to the trouble of publishing the information, and they *like it that way*. Submit it to them the way they want it.

But if you've completed the common grant application, you'll have the basic components of an excellent proposal. You will just need to rearrange them a bit to get them in the right order for any prospect. I started out in this business a long time ago when every proposal started with the book of Genesis; we tried to show the entire ebb and flow of history demonstrated that the XYZ Foundation had to fund our project which was, incidentally, the most important project on the face of the planet. The longest proposal I ever wrote was early in my career to the Ford Foundation, ninety-three single-spaced pages. We received funding but I don't know why!

On some level, long proposals are easier to write than the two to three pages most foundations want. When I do two or three page proposals, my first draft is always five

and a half pages. That's okay. Write long, then edit it down; the foundations want what they want. They do not want you to reduce the type to six point single-spaced with no margins. You want them to be able to read the thing without getting eyestrain. If you can't present your request in two to three pages, you probably don't know what you're doing. The rule of the proposal is tell them what they *need* to know, not everything *there is to know* about the project.

In dealing with foundations, I find "no" is frequently the beginning of the conversation. Don't let "no" buffalo you. If your proposal is turned down, or if you submit the proposal to one of those foundations that will talk with you in advance (and some of them will) it is fair to say, "What does 'no' mean?" This is true with corporations, too. Most of what I'm talking about and what Ellen said generalizes to corporations and businesses. Sometimes they love your organization, but they hate the specific project. Or, they didn't like the way the proposal was submitted and if you'd only said x, y, and z it would have made a difference. Or, "no" means not this year because they have just had too many good projects, but please resubmit and you have a good chance next year.

CASE DEVELOPMENT

T. Scott Smith, Full Circle Consulting

In fund raising terms, "the case" is the basic argument for support of the organization. The "case statement" is the written version of the case. The case must be extremely well-defined, simple and clear, so that it can be used by administrators, board members and volunteers, and easily understood by prospective donors. The case must be based on an understanding that donors give to *opportunities* and *outcomes*, not to organizational needs. Donors prefer to give to purposes that are always larger than the organization requesting funds.

The case must offer the opportunity for a *partnership* between the donor and the organization to accomplish a common agenda. The case must provide an emotional hook that the prospect can react to. However the case can't be simply emotional fluff. It must also appeal to the donor rationally—it must make good business sense. From the donor's perspective, he/she is making an emotional commitment as well as a financial investment to partner with the organization. The institution must reach the prospective donor's *head* and his/her *heart* in order for the partnering to occur. If either element is missing, then the case has not been made and no significant donation will result.

The case must inspire and challenge everyone who uses it or hears it. It should contain at least these elements:

1. A description of the organization's mission, values and accomplishments to date.
2. A description of the problem or need the organization addresses in the context of the larger society.
3. A description of the proposed objectives of the partnership, emphasizing the outcomes and benefits to the client and to society as a whole.
4. A description of the key strategies that will be used to arrive at these outcomes.
5. A demonstration that the organization properly manages its business affairs. This should include the organization's recent financial history, short term financial projections, and long-term funding strategies.
6. The specific opportunities for financial partnership between the prospective donor and the institution.

I emphasize that when dealing with individual donors, the case must *leave space for the partner*—that is, the donor must feel he/she is a part of a team, that there is a shared vision and that his/her contribution is essential. Many organizations, in their desire to demonstrate their skill, talent and effectiveness actually suggest that they don't really need a partner—simply a financial angel. A partnership is a continuing relationship.

Copyright 1994 T. Scott Smith

Sometimes "no" means "hell no." That's a different story, and that's hard to take sometimes. I took over an organization a few years ago that was in tremendous financial difficulty, and I looked back on who had funded the organization at its beginning. I called all those people and said "We've only got two months of funding, I'd like to talk to you." The Gates Foundation was on the list, so I called Ellen. She was quite candid, and said, "Not only will we not help you now, I have no idea why we funded you in the first place." I appreciated her candor, because it was clear to me that I shouldn't spend a lot of time on cultivating Gates. But try to find out what "no" means.

There are a couple of differences when approaching corporations. First, with foundations, my proposal's lead sentence always tells them who we are, how much money we want, what the project is, and why we want them to be our partner. I include that same information for corporations, but I also tell them how their self interest will be served by making this grant.

Second, foundations are established to invest money on community improvement. In contrast, businesses are established to make money for their shareholders. They do not exist to give away money. They have their own reasons for their philanthropy, and generally speaking, it has to do with enlightened self interest. There is nothing wrong with that. They are playing good corporate citizen; their goal is to help make a stronger community. Therefore, they are interested in you if you help solve a community problem, but that is because it is in their self interest as a business.

Corporations usually like some public recognition. They generally do not want to do controversial projects. Again, look at what they're giving to, know why they give, look at their patterns, understand their point of view. Sometimes they may not see how

funding you is in their self interest, so point it out to them. You people in the audience have opportunities to publicly recognize corporations and businesses that contribute to you. You have vehicles for donor recognition that social service agencies and others frequently don't have. For instance, if ABC, Inc. will be involved in the restoration of a property, which lots of people visit daily, weekly, or annually, recognize ABC Inc.'s participation in your new roof. We did that in an historic church back in Kansas City, where I come from. The church had a slate steeple. All the slate was falling off, and it was going to kill somebody. Slate is very sharp when it hurdles down six floors, so we had to do something fast. The priest in charge, a wonderful fund raiser, got a couple of companies to donate a roof and, let me tell you, we recognized them a lot. With good reason, they saved our church.

Look for an individual in the prospect company to become your "corporate champion." If I am going to a company, what I try to do first is to find somebody in that company who will serve on my board, who will serve on an advisory committee, who will be a volunteer in some way for my nonprofit. I'd like that individual to get a couple of his or her corporate friends to volunteer also. It doesn't have to be a high-ranking person, it doesn't have to be anybody involved in corporate philanthropy, it just has to be somebody who cares. When I go into that company and ask them for a gift, I'll take my company champion with me if she'll come. If she can't, I'll ask her to send a letter or make a phone call to the person I'm planning to visit. In this way the company knows that their people are involved in my project. If the company champion or champions are donors, that's all the better. A volunteer who's also a donor is an A+ corporate champion.

I think nonprofits miss a lot of opportunities for business gifts because we think too narrowly. I frequently go into a struggling nonprofit in Denver and I'll ask, "Who are your top fifty corporate prospects." It is always the same list! It doesn't matter what the nonprofit's purpose is, it's always the same list, and sometimes they struggle to get fifty. Basically every nonprofit in Colorado wants money from the same thirty-five corporations. I think we're missing a real opportunity by not going after middle-sized businesses. It's a little harder to identify and research them, but most nonprofits aren't asking them. This doesn't mean you shouldn't go after the top fifty. But it's a good idea to go after companies that probably aren't being asked.

Now I will spend a few minutes talking about individual donors. If you're going after individuals, you have to decide what kind of strategies and approaches you are going to use. You can do direct mail, the particular advantage of which is you can get unrestricted operating money; unrestricted operating money is hard to get. You can conduct an annual fund, in which you get *regular* gifts. By the way, it's easier to renew annual gifts than it is to get new donors. Your goal is to create a regular donor base and then continually expand it. The disadvantage of direct mail is that start-up costs can be horrendous. They include designing the package, buying lists, printing, postage, etc. Sometimes, a foundation or a corporation will help pay for building a donor base. With direct mail, you get a low return on investment until about the third year. So it's not a "quick fix" strategy.

There are also special events. How many of you have done special events? Personally, I think people ought to get time off in hell for doing special events. They're exhausting, they're tough, but they're wonderful. The advantages are that you can get great

visibility in your community. It's a way for corporations to participate because they get a lot of recognition by paying some of the costs for the event. Most important, it's a way of partnering. It's also a great way to build lists for your annual fund or other individual donor programs. If you do an event, be sure to capture the names of the people who come to the event. If they're willing to come to your event, they have potential interest in you. They ought to be on your newsletter list; they ought to be on your potential membership and fund raising lists. You can use special events to recognize your major donors or other great leaders within your organization. Events are a great way to involve volunteers. Volunteerism is important because donors frequently begin as volunteers. You must involve donors in your work. And the way you get individual donations—whether it's at the annual fund level or a major gift level—is to first get involvement. My rule is: first their head has to believe in you, and second, their heart has to believe in you. If either the head or the heart is missing, you will not get a gift. Or you'll get a blow-off gift like \$10. Emotionally the prospect must have a commitment to whatever you're doing. I'll give you an example. My wife and I give to the American Cancer Society, we do not give to the American Heart Association. My wife's father and her favorite aunt died of cancer. It's our issue; if either or both of them had died of heart disease, guess which organization we'd be supporting. To us it's an emotional issue.

What about major gifts, big gifts? First, the definition of a "big gift" depends on the size and scope of your organization. The largest gift I've ever gotten was \$3 million; it was at the Colorado School of Mines when I was Director of Corporate and Foundation Relations of the school. The largest gift I got at the Community Technical Skills Center, a small organization I ran a few years ago, was

\$25,000. Both of those were the major gifts for those organizations. Colorado School of Mines is an internationally famous school and there are millions of dollars out there for that school if the prospects are cultivated correctly. Community Technical Skills Center served Denver, and that was about it; it was a very small organization, we had a budget of \$500,000 a year. So \$25,000 was a large gift for the center. We worked harder for that gift than we did for the \$3 million. So what is a large gift? Depends on what you're doing and what kind of money is out there for you. Don't expect to raise a million dollars if your operations are \$100,000 a year, that's not real.

A large gift can come from an individual. Individuals are most likely to give a larger gift if the project is well defined and dear to the donor's heart. Individuals are also the best source of endowment funds. Most foundations will not give you endowment funds; they think they are endowment funds. Usually corporations won't give endowment funds, unless it's for higher education. Individuals are your only source of planned gifts, which are mostly contained in wills or bequests. The "in" thing right now is planned giving. Planned giving appears to be a really esoteric business, and it needn't be because about 95% of planned gifts are in wills. But it can be done relatively cheaply and simply, and is important. It's the way you're going to get endowment funds for the most part.

The disadvantage of working on large individual gifts is that they're extremely labor intensive. You especially feel this if you're a one-person shop, like so many of us are. They can eat you alive, if you don't have a full-time fund raiser working on major gifts. Major individual gifts also require the help of the board and volunteers, and that's frequently hard to coordinate. Plus, it can take as long as two to five years (or longer)

to actually get the commitment from the individual.

Individuals have all the money, but they are the hardest to get at because nobody is publishing books telling you who the rich folks give money to. The wealthy don't publish annual reports, and most of them have a couple of secretaries whose sole function in life is to keep people like us away from people like them. That doesn't mean that they don't want to be philanthropic. It may mean that they already defined their special interests.

How do you identify these people? Collect names from everywhere. You need your board to help you identify prospects; you need your volunteers to help you turn up prospects; you need your friends to help, as well as other donors. Read the newspapers, read the business pages and the society pages. And save the names. Just dump them in a bin. Look at projects similar to yours. Go visit them, some of them will have a donor plaque on the wall. I embarrass my family when we go to the symphony or something like that because I write names from donor plaques on index cards I carry in my jacket. I get newsletters and annual reports from organizations similar to the one I'm working for. We're all trying to recognize our donors and we frequently do so in these publications. If you've got a visitor sign-in book, that's a source of names. If you've got newsletter subscribers, if you conduct an annual fund, all these people are prospects for major gifts. If you've got a staff, all those people should be collecting prospect names. All of your volunteers can help. I call this "fugitive information." Implement a system to capture that fugitive information from all of your organization's friends. Everybody in your nonprofit and everybody connected with it is a fund raiser and a researcher for you. You've got to teach them that, so you can

capture fugitive information and make it yours.

Prospect evaluation, that's a killer with individuals because you don't always know and you've got to make some judgements.

You have to make some guesses. Here is a grid to help you prioritize the prospects.

Along the vertical line is financial capability, capacity for a gift. At the low end of the line are people who have \$1.80 in the bank, while at the other end of the line are people who have \$900 million. The horizontal line is connection to you, involvement with you. At the left end of this line are people who don't know you exist in the history of the world, they've never heard of your project. At the other end of the line are people living at your facility and they've married your oldest, they are involved with you, they come to paint, they come to help you now. What you have to guess is where they fit on the grid. So you have a name: based on the fact that they've been in the society pages for the last fourteen years and they've just sold their company for \$100 million, they may be somewhere high on the capability line. But they don't know you exist. That's not a very good prospect for you. Take somebody who has half that kind of wealth, you're guessing, but they actually volunteer for you or, more likely, their best friend or their spouse is volunteering for you. So they're going to be part of the upper corner of your grid. Your best prospects are people who are up in the upper right quadrant. The closer you get to the upper right corner, the better. But start with any people in the upper right quadrant. This is one tool to help you categorize and

prioritize; otherwise you wind up collecting too many names and you can't deal with them. Your goal is to develop a relatively prioritized "top 100 individuals" list.

The Prospect Rating Grid

FINANCIAL CAPABILITY	high			EXCELLENT PROSPECT	BEST PROSPECT
	above average			GOOD PROSPECT	EXCELLENT PROSPECT
	moderate				
	limited				
		little knowledge	moderate knowledge	very knowledgeable	committed
KNOWLEDGE OF OR COMMITMENT TO YOUR ORGANIZATION					

© 1994 T. Scott Smith

This information constantly changes. You're always collecting information and it's always imperfect. And don't try to make it perfect. Don't devise too elaborate a system, just take some best guesses and keep it fluid. The real key is prospect cultivation. You must cultivate prospects, which means you have to get them involved with your nonprofit. You've got to move them from the left quadrant to the right quadrant on the grid. Make them participants in some way, so they know about you, then they understand you, and then emotionally they become connected at the same time they are intellectually discovering that you do your work better than anyone—that you are a

good investment. Share with them what you're about. Spend 80% of your time listening to them. That's what fund raising is about, 80% listening: I want to know what the prospect cares about because then I can demonstrate that what she or he cares about is what my nonprofit cares about, and we have the potential for a partnership. Frequently you will need to use a board member or a volunteer to help you, as a staff person, do that cultivation. Volunteers are usually happy to help you cultivate. What volunteers almost never want to help you do is ask for money. Keep that in mind.

Someone, eventually, has to ask the prospect for money. I have seen situations in which fund raisers got hung up on the cultivation steps, and cultivated somebody for 25 years but they never asked him or her for money. You can have one of the best research and cultivation operations in the history of fund raising, but if you don't ask for money, you'll go bankrupt. Don't allow that to happen to you. At some point, you've got to ask for money. Ask for the gift—and ask for a specific amount. Do not ask by letter or by phone. Ask face-to-face if you're going to ask for a large gift—whatever “large gift” means for you. Do it face-to-face, in a comfortable place for the prospect.

There is a rule in fund raising that says you thank donors seven times for their gift. Thank them in a variety of ways, both public ways as well as private ways. If they have become your partner in your work, and you are indeed grateful, make that known. Finally you've got to be a good steward of their money; that is, use the money in the way that you said you were going to, for the purposes on which you both agreed. Let the individual partner, your financial partner, know what you're doing and how well it's going. That is the best way to cultivate the prospect for the next gift.

If you need to use consultants, the National Society of Fund Raising Executives has state chapters and local chapters, and they usually have a list of consultants. They'll tell you where you can rent them by the hour, by the day, by the year. Some cost a lot more money than others. Shop around. The NSFRE headquarters in Alexandria, Virginia can tell you how to contact your local NSFRE chapter; their toll free number is 1-800-666-3863.

Be sure that you've got an accountant either on your board or working for you that understands how you will report gifts. All those rules are changing. Be sure you have that expertise, be sure that you have access to an accountant, or a lawyer who understands nonprofit law—not just any lawyer but one who really understands how nonprofits work.

I hope you know this is all doable. It is doable, and it is important and there's a lot of resources out there for you. I wish you good luck on it. Good luck because you deserve it. 

114

BLANK PAGE

SOURCES OF FINANCIAL ASSISTANCE TO NATIONAL HISTORIC LANDMARKS

Susan M. Escherich

Susan M. Escherich is a historian with the Heritage Preservation Services Program of the National Park Service in Washington, D.C.

She is currently coordinator of the National Historic Landmark Initiative. Recently, she researched and co-authored two books on affordable housing in historic buildings: Affordable Housing Through Historic Preservation: A Case Study Guide to Combining the Tax Credits (1994) and Affordable Housing Through Historic Preservation: Tax Credits and the Secretary of the Interior's Standards for Historic Rehabilitation (to be released in early 1996). Susan earned a master's degree in Urban Planning from the University of Virginia.



Back in 1849, the government had a War Department and they had a State Department, and they needed a department for everything else. So, they set up the Department of the Interior. That's what this session is going to be about; it's going to be about everything else that's available to assist in the preservation, maintenance and rehabilitation of NHLs. I'm going to be doing it mostly by referring to publications, and I'll give you examples of some successful cases that I've become aware of since working in the program.

My first and most important point to make to you is that you have to look beyond the "preservation" sources of funding, things that are labeled preservation. There's a lot of money out there; it just happens to be called something else. You need to start thinking about how you can mesh with the current goals of government, which mostly have to do with equality, leveling the playing field for everyone, providing housing for everyone, providing

jobs, providing job training, educational opportunities. There's lots of money out there for these things.

Most of the donors you'll go to, whether they are government or non-government, are looking for the biggest bang for the buck. What will do the most good for the greatest number of people? We've all got shrinking budgets. We need to work on leveraging, on matching funds. This offers you the opportunity to combine goals, combine sources of funding. They are looking for public participation. They want to know that the public really likes what you're doing and will benefit from it. You already have the great advantage of being a National Historic Landmark. You're officially important to the country. But your resources can also be used for other goals. The National Trust's Main Street program, which Barbara Pahl talked about this morning, is a great example of how the goals of revitalization can be combined with preservation. It's been tremendously successful.

Another very important point—which I think has been alluded to here and will be talked about later—was made at another conference by our friends from MetroPlains Development, who rehab historic buildings. When they go into a new community, the first thing they do is ascertain political support for the project. That really smooths the way—who makes the decisions about who gets the community development block grants? Who makes the decisions about whether they'll give you that old building for a dollar because you're going to use it for a goal that they like? Who makes the decisions about waiving the parking requirements? It's the local governments.

The Preservation of the Sloss Furnaces in Birmingham, Alabama

Steel located in Birmingham because of the availability of natural materials and the convergence of the railways—it was a key industry in the development of Birmingham. Sloss was established in the 1880s and the city grew around it. It was a major employer of Southern Blacks as they left the tenant farms after the Civil War and sought better economic opportunities. When the plant finally closed in 1971, it was donated to the Alabama State Fair Authority, which was unable to find a reuse for it, and announced plans for demolition. The nearby railway station at the heart of the city had just been demolished for a project which never came to pass—the site sits empty today.

A group of Birmingham citizens determined to save the Furnace as an exemplar of Birmingham's history, and incorporated themselves as a nonprofit group in 1975. They immediately started to lobby. Birmingham is organized into 97 neighborhoods, each with its own council. The Sloss Furnace Association went to each of these neighborhood councils and made formal presentations to them on the importance of Sloss to the city. They also lobbied the mayor and the chamber of commerce.

In 1976, the Historic American Engineering Record of the NPS recorded the Furnace and it was declared eligible to be on the National Register. The mayor agreed to put a \$3.3 million bond issue to a citywide vote in 1977. Despite predictions, the bond issue passed, with solid support from the Black precincts. At that point, the State Fair Authority transferred ownership of Sloss to the City. The City hired a New York firm to plan a reuse; they developed a multimillion dollar extravaganza—theme park with rides, etc. It was so unrealistic that they were fired and a local architect was asked to develop a plan to stabilize the plant and rehabilitate the furnace in 1981, the same year it was made a National Historic Landmark.

An historian was hired to manage the site in 1982. One of his first acts was to seek professional advice on correct preservation procedures and techniques. The #1 casting shed was turned into a theater with the addition of a stage and a sloped floor for seating, and plans were made to use the site to interpret many themes of the City's history.

On Labor Day 1983, the furnace was opened as a museum. The staff expected 1,500 people over the weekend, but instead they got 12,000 visitors. Seeing the depth of public support, the city provided a small operating budget, less than \$100,000. The Furnace put on a variety of events in conjunction with local colleges, both to cement community support and to raise funds. Events included everything from rock and roll concerts—the site was mentioned as one of the top ten most unusual venues for concerts in the nation in a nationally known music magazine—to cocktail parties to try to win the interest of the corporate segment of society. They have also had "doggie dips" in conjunction with the local Society for the Prevention of Cruelty to Animals; Halloween ghost programs, and music festivals. The Furnace was home to the Birmingham Symphony and hosts two jazz festivals yearly; the biggest is the "Birmingham Jam" which focusses on blues and includes workshops for musicians and children. The State Arts Council is putting out a CD of labor music in conjunction with the Furnaces.

A docent program was developed, using workers who had once been employed in the mill and their families. The site was rented out for events and became popular among the elite. A local Congressman got funds appropriated as an add-on to the National Park Service budget, and the city matched them with new bond money.

The Furnaces developed a strong arts program: it has hosted three international congresses two of which dealt with cast iron sculpture. It also has programs for the local schools and ongoing workshops for sculptors in cast iron. One historic area has been reactivated for demonstrations of casting. The Furnaces are home to three artists in residence who work in metal.

The labor force of Sloss was historically 70% Black. The Furnace is now planning to work closely with the Birmingham Civil Rights Institute, and the Park Service, I'm told, is considering a Labor History Center there. The Furnace provides some excellent oral histories from one-time workers, and has produced an outstanding video interpreting the place of the steel industry in the history of Birmingham and its various ethnic groups.

The corporate world of Birmingham now supports Sloss with board members and financial assistance. The events calendar is now so full that its management has been contracted out and the staff of historians can now concentrate on interpretation. Today, the Furnaces generate several million dollars annually in tourist revenue for the city.

The director stresses that the support of the mayor was critical to their success, but obviously, so was their persistence, their outreach to the citizens, and their creativity in exploring every means of reuse compatible with the character of their Landmark.

You can sell your NHLs as tourist draws, and tourism is tremendously big business. Once the mine plays out or the big plant in your town closes down, maybe all the town has left is your historic resource to use for economic revitalization. The Sloss Furnaces in Birmingham, Alabama is a wonderful case study. I went to visit them a couple of weeks ago, and they have a tremendously inspiring story. Birmingham was built on the steel industry because the railroads converged there and they had all the natural resources available that they needed. The Sloss Blast Furnaces was a steel mill—in the middle of town—which opened in the 1880s. They employed a lot of people from the South who were trying to get off the farms. But the plant closed in 1971, and the city wanted to tear it down. A nonprofit citizens' lobby was set up. They started out by grass roots lobbying. Birmingham is organized into ninety-seven neighborhood councils; that's their form of government. The people who wanted to save the Furnaces lobbied all ninety-seven of them; they talked to them about what the plant meant to the residents and the city. They got a bond passed, much to the power structure's surprise. The bond was for starting this off as a museum. They started all kinds of fund raising; all of which was done quite sensitively. At this point, they are so successful, they're bringing in several million dollars a year to the city of Birmingham, and they have the power structure on board. They have the corporate leaders on their board of directors, and they have contact with all the money that they need. If you ever get a chance to go to Birmingham, the Sloss Furnaces are worth visiting.

Another important step is examining your goals; know exactly what you want to do and look for how you can mesh with the goals of the funders. Last fall we put out a book, called *Preserving and Revitalizing Older Communities: Sources of Federal*

Assistance. We talk about 90 programs in here that aren't labeled preservation, for the most part, but are labeled housing, training, job creation—those kinds of things. The three governmental departments of 1849 have multiplied immensely, and this is what we've got now. A lot of the programs seem to be redundant, but actually that gives you more opportunities because you will find several agencies offering the same kinds of assistance. If you don't have the right slant for one, you can go to the next one. This book, which is going to be a useful reference to you, has things indexed by the recipient eligibility; there are programs for individuals, nonprofits, local government and states. It's indexed by subject—assistance to state and local governments, community development, housing. And it's indexed by type of assistance—loans, grants, advisory services, loan guarantees, etc. So, it's indexed in three different ways.

Generally, the programs are targeted at conditions, like homelessness or joblessness or a depressed community due to a plant closure; or to particular groups of people, which can be anyone from Native Americans to veterans to disabled migrants, minorities, women—that covers a lot of us. When you're looking for money for "bricks and mortar," you can go to these programs. Many of the housing programs particularly can help you. A lot of them are geared to low and moderate income. I want to dispel a prevalent myth about low/moderate income; these programs are not in themselves geared for people who have no jobs and are social problems. They are geared for our children. The rule of thumb is 50% of the median income of an area is considered low income. Now where I live in Virginia, the median income is \$42,000, so that means low income is \$26,000. My daughter is going to be lucky when she gets out of college if she can make \$26,000 at a starting job. Our school teachers make that. Our fire fighters.

They're people you'd be proud of have as neighbors. We need to dispel the myth about low/moderate income housing that it will serve "undesirable" people.

Another thing about combining historic preservation with low/mod housing—which has a lot of funding behind it—is that when you use a nice historic building, you can help dispel some of the "not in my backyard" attitude. People are pleased to have their historic buildings that they've grown up with retained, and you get much less resistance when you do it that way. That's an argument you can make to gain support.

Grants for rehabilitation and repair of housing are available not only from Housing and Urban Development (HUD), which everybody thinks of, but also from the Department of Agriculture, the Department of the Interior—we have housing money for tribes—the Veterans Administration, Health and Human Services—all of them have money for housing. They all have their own slant. Some funding is for rural communities, some for urban communities, and so on. One example of a successful use of housing to save a historic building is the Dunbar Hotel in Los Angeles, which was a historic hotel that had been used during the time of segregation by all the famous black entertainers who went to Los Angeles. An African-American group organized to save the hotel, but they figured out that the only way they could make it work would be to apply for a Community Development Block Grant, which would be for housing. So they went to the city and they said, "We want to make a museum out of this hotel; we want to restore it as a monument to our heritage; can we get some Community Development Block Grant money to do this?" And they did. And it's now a going enterprise. It contains low-income housing, a museum, and some commercial space which helps to pay the ongoing expenses. I also have some examples that I'll

talk about later about housing groups that use preservation to save their buildings.

The Department of Energy has been a big player. They have weatherization grants for low-income housing that are available to states, nonprofits, localities, and tribes; and as of June 1993, they had weatherized over 2 million homes. Now if you stop the cold air coming in and freezing people to death, you're also stopping the moisture from coming in and destroying your building, so it all helps. The Department of Energy also has money available for weatherization of schools and hospitals.

Several of the agencies have money available for job creation and for business incubators starting off small businesses. It occurred to me that the gentleman with the historic NHL that had been a brothel . . . well, now it's antique shops, but you know those are nice, credible small businesses.

The Department of Commerce, the Department of Education, and the Small Business Administration fund job training. There was a school up in Portland, Maine, that had eight classrooms that was rehabbed last year to make eight affordable apartments for large families. This was a very early school; I think it was built in the 1850's and was one of the elementary schools with the longest service in the nation. And as part of their project, they got some job training money. They gave one of the apartments to a program that dealt with high school dropouts, and they taught those kids the skills they needed to rehab that apartment. They rehabbed the one apartment and gained a lot of self esteem as well as skills. Eighty-seven percent of these dropouts either went back to school or got jobs. So there was another goal that was combined successfully with preservation.

You can use your building as a teaching lab—even if you live in it yourself. The University of Oregon has two landmarks on

its campus which they use in their preservation program, and they have their students work on the buildings. You can also volunteer your building to be worked on by other groups that are doing training.

I bring you an invitation from the National Trust for Historic Preservation. They called me recently and said that they would like to use National Historic Landmarks for their historic house fairs. These can serve several purposes for you. The Trust comes to your property and they put on an all-day fair. They invite vendors and other experts to come in to look at your building and do an evaluation of it. They talk about what could be done with your building and what should be done with it, in a public forum so the public can come in and learn from this. A house fair can also create a lot of interest for your building because the Trust will do publicity for you. Last spring at a site in Cedar Rapids they had 800 people come by in 5 hours. You can see it was a good publicity device for the house.

In the *Sources of Federal Assistance* book we have 24 programs from the Department of Housing and Urban Development (HUD), and there are even more that aren't in there. One of the largest, of course, is the Community Development Block Grant (CDBG) program. HUD has recently put out a guide entitled *Historic Preservation in Housing and Community Development: Linking Historic Preservation to Community Development Block Grant Objectives*, it's a very good guide. They have \$4 trillion available for CDBG grants, and part of that can be used for historic preservation. One example was a historic brewery that was rehabbed for small business incubator space last year. They have a new program at HUD called the Community Investment Demonstration Program. The idea is that there is over \$3.4 trillion, according to the Labor Department, available

in pension funds in this country that have not been invested in what they call social investment. The Clinton administration is encouraging this type of investment. If this HUD program is to encourage investment of those funds in financially sound but also socially responsible locations, that can mean these kinds of programs we're talking about, because revitalization means the money and the economy to keep your buildings going.

The combination of low income tax credits and historic tax credits is very attractive to investors. They each have benefits and particularly when they're combined. They can be sold for equity for your projects. We put out a book this fall called *Affordable Housing Through Historic Preservation*, but it could just as well be titled the other way around, *Historic Preservation Through Affordable Housing*. It will show how you can combine the two credits to your advantage, what to look out for, what to think about when you plan it.

I'm not going to get into the rehabilitation tax credit for preservation, because it will be discussed in another session. The tax credit is the largest program that NPS has for preservation. We've leveraged \$16.5 billion over the past seventeen years that we've had the program going. We estimate it's been used on over 25,000 different projects. Housing has been a part of 50% of those; in 1993, 48% of the new units created through rehab were for low-moderate income housing.

The National Park Service has a program called Challenge Cost Share Grants. There will be \$1.68 million divided up by ten regions, to be parceled out by the regional directors. The park service personnel can apply for these grants but they have to be matched with non-federal funds. This is a partnership opportunity for you in the regional office here to think about.

Even everybody's favorite department, the Internal Revenue Service, has another program that helps preservationists. It's called the charitable contribution. You can get tax and estate deductions for giving easements. Lane Ittleson talked about that in greater detail, so I won't go into this. However, I want you to know you'd be in very famous company if you granted an easement because Donald Trump has just put a preservation easement on Mar-a-Lago, his fabulous estate in Florida, which he's placed with the National Trust for Historic Preservation. It means that he cannot make changes to the building that are deleterious to its integrity. He has to pass everything that he wants to do through the Trust so it will protect the property as a National Historic Landmark.

The National Endowment for the Arts and the National Endowment for the Humanities have community design grants. The Amana Colonies NHL in Iowa has received several grants for preservation planning through them.

Another source that's come up in the last couple of years is the Intermodal Surface Transportation Efficiency Act (ISTEA), otherwise known as "ice tea." This is a Transportation Department program funding our highways and so on, but 10% of the funds that go to any state have to be used for enhancement—and one of the ten enhancement categories is historic preservation, particularly of transportation-related facilities like railroad stations. Each state administers the program differently; one problem that we've encountered in some states is that the people who are administering it are transportation engineers and they don't know anything about historic preservation, so you really have to do an education job while you're at it. The property doesn't have to be right on a highway, there are some creative

interpretations of "transportation related." Fair Park NHL got a \$2.5 million ISTEA grant for a building that was used for the transportation exhibition hall at the Texas centennial. Another good example which I thought was really creative is that Texas has received a grant from ISTEA to document the courthouses in Texas. In Texas, the county roads radiate from the courthouses, plus often the police department is housed in the courthouse, and the police enforce the transportation laws.

Let's go on to state incentives. The National Trust put out a very good publication called *State Tax Incentives for Historic Preservation: A State-by-State Summary*. It covers tax incentives and tax abatement programs for each state in the country. Some states and communities have revolving funds. Revolving funds are monies that are lent out to you that you have to repay so the next guy who comes along can do it again. These funds can be used for housing or for historic preservation depending on your state; they are discussed in the National Trust's *Landmark Yellow Pages*, which includes a list of revolving funds for each state.

I advise you to call your state and local departments of economic development because they can be very helpful. They're happy to have "raison d'être," so they'll come and talk to your communities and they'll help you. And the same with your state and local tourism departments. State universities are often a good source of help. While I was doing a historic district nomination, we got the architecture students from the state university in town to do a survey and do some planning for design guidelines. They can be a big help to you; they love to have projects to do. History students and preservation students are always looking for projects, too.

The National Trust has a very good program called Inner City Venture Fund which will lend you money for housing projects or economic development projects; they also have grants—they can work it both ways.

The Community Reinvestment Act has a lot of promise. It was passed in response to

the red-lining that was going on earlier, when bankers wouldn't lend money in neighborhoods that were bad credit risks. The law is very vague—it's frustrating to bankers apparently because it doesn't say anything specific—it says they have to invest in the communities that invest in them. But this can be interpreted as serving on the board of the United Way, or it can be doing workshops for new mortgage holders, or many different kinds of things. There's no reason you can't help them interpret it to your benefit—go in and talk to them. Bankers are looking for investment opportunities that are not a bad risk. There are lots of opportunities that are terrible risks and they don't want to take them on because they have a fiduciary duty to their investors. But if you combine with some of these other programs, like the HUD programs, you can get so many safeguards built in that you can assure them of the viability of your projects.

Now let's look at local foundations and private sources of assistance. The museum assessment program of the American Association of Museums is quite useful. They will come out and they will help you, they will look at your management practices, they will look at your curation, and they will look at your public relations, how you interface with the public and how you can better present your message to the public. You do not have to be a member. They have a charge, but they also have scholarships which are on a first-come-first-served basis.

A great source of information is the *Foundation Book*, which comes out once a year. It should be in your larger libraries. Every year they look at all the grants that have been made across the country the year before, what they were for, who made them, to whom, what their restrictions are; they list all that information. Many of the foundations are very state-specific or locality-specific. I suggest you go and look at it. For instance, here's a listing for the Boettcher Foundation in Denver, which funds historic preservation and education; funds can be used for education, operating budgets, seed money, building funds, land acquisition, and renovation projects—that might well apply to you. Remember when you go to these folks that historic preservation contributes to jobs, job training, education, housing, community development, revitalization—you can help them with all these goals.

The National Park Foundation (NPF) was mentioned earlier; it is a 501(c)(3) nonprofit arm of the National Park Service. You can raise money and have it deposited in an NPF fund earmarked for your NHL. There is a tax benefit for donations to the foundation. Another advantage is that the donor knows that the National Park Service will make sure that what you do is compatible with the integrity of your landmark—you can give them that guarantee. This summer we went to the National Park Foundation. We took the Landmarks at Risk bulletins to them, and asked them if they would actively raise funds for National Historic Landmarks. They have a new staff over there, who were not aware that NHLs might not be on park property, but still were part of our concern and mandate. They're very enthusiastic. They said they will actively go out and talk to large corporations and other potential donors, and will ask them to contribute to landmarks. They will be starting a campaign. I am going to put together a brochure that will be generic for all the landmarks because we have this

problem where everyone knows about the Alamo, but not everybody knows about some little place. So that's going to be part of our effort in the future.

Now I'll tell you about a few of the case studies that we discuss in the book I mentioned earlier, *Affordable Housing Through Historic Preservation: A Case Study Guide to Combining the Tax Credits*. I want to show you the range of different kinds of financial strategies that were used. One of them up in Boston was originally a luxury apartment building that's incredible; it's got a private chapel with stained glass windows and carved angels on the sides, an organ, a double staircase winding up, and murals on the walls—it's a breathtaking building. It has been turned into cooperative housing; it's a mixed rate building—some of it's subsidized and some of it's not. The developers helped raise their equity by turning it into a cooperative. They also used the tax credits and got further equity that way. In addition to that they got several loans—the local initiative support corporation loan, a city neighborhood development loan, a state land bank loan, and a low interest loan from HUD. They got city subsidies of the rentals. They got a city waiver of off-street parking and open space requirements. Remember I said, get to know the politicians and find out what they want. They got a 67-year lease of the building for a nominal fee. So all of this put together helped to make this project in Boston, which is a high-rent district, feasible.

Another project that's interesting is a rehab of three mill buildings up in Appleton, Wisconsin which was financed with state and local tax-exempt bonds, a tax increment financing loan, a subsidy from the state power company, Section 8 rehab rental rehabilitation, and energy fund grants.

In Macon, Georgia they wanted to rehab single-family shotgun houses in a historic district, because they wanted to maintain all

the neighborhoods of their community. They used community development block grant loans, tax credits, and they got local people to invest. They also got a local housing authority grant and a local foundation grant. They got property tax abatement in which the rate was frozen at the beginning rate, the unimproved rate, for eight years, and then gradually phased into the market rate tax. Negotiate that before you start. I won't go through the other six case studies discussed, but they can be very helpful to you.

The people in the case studies who have achieved such success offered the following advice: you need to know what your own goals are; you need to form alliances with local preservation and housing groups and local government, whoever has common interest with you and can help you accomplish your goals; you need to be very creative in finding your sources of funding, and most of all, you need to be persistent. ♣

Facing page: The Methodist Church in the Bannock, Montana National Historic Landmark had its 1877 construction interrupted by the approach of Chief Joseph during the Nez Percé War. Historic American Buildings Survey, Library of Congress, John N. DeHass, Jr., photographer, 1983.

A P P E N D I X



126

BLANK PA

APPENDIX I

SECRETARY OF THE INTERIOR'S STANDARDS FOR TREATMENT OF HISTORIC STRUCTURES

PRESERVATION is defined as the act or process of applying measures necessary to sustain the existing form, integrity, and materials of an historic property. Work, including preliminary measures to protect and stabilize the property, generally focuses upon the ongoing maintenance and repair of historic materials and features rather than extensive replacement and new construction. New exterior additions are not within the scope of this treatment; however, the limited and sensitive upgrading of mechanical, electrical, and plumbing systems and other code-required work to make properties functional is appropriate within a preservation project.

STANDARDS FOR PRESERVATION:

1. A property shall be used as it was historically, or be given a new use that maximizes the retention of distinctive materials, features, spaces, and spatial relationships. Where a treatment and use have not been identified, a property shall be protected and, if necessary, stabilized until additional work may be undertaken.
2. The historic character of a property shall be retained and preserved. The replacement of intact or repairable historic materials or alteration of features, spaces, and spatial relationships that characterize a property shall be avoided.
3. Each property shall be recognized as a physical record of its time, place, and use. Work needed to stabilize, consolidate, and conserve existing historic materials and features shall be physically and visually compatible, identifiable upon close inspection, and properly documented for future research.
4. Changes to a property that have acquired historic significance in their own right shall be retained and preserved.
5. Distinctive materials, features, finishes, and construction techniques or examples of craftsmanship that characterize a property shall be preserved.
6. The existing condition of historic features shall be evaluated to determine the appropriate level of intervention needed. Where the severity of deterioration requires repair or limited replacement of a distinctive feature, the new material shall match the old in composition, design, color, and texture.
7. Chemical or physical treatments, if appropriate, shall be undertaken using the gentlest means possible. Treatments that cause damage to historic materials shall not be used.
8. Archeological resources shall be protected and preserved in place. If such resources must be disturbed, mitigation measures shall be undertaken.

PRESERVATION AS A TREATMENT:

When the property's distinctive materials, features, and spaces are essentially intact and thus convey the historic significance without extensive repair or replacement; when depiction at a particular period of time is not appropriate; and when a continuing or new use does not require additions or extensive alterations, Preservation may be considered as a treatment. Prior to undertaking work, a documentation plan for Preservation should be developed.

REHABILITATION is defined as the act or process of making possible a compatible use for a property through repair, alterations, and additions while preserving those portions or features which convey it historical, cultural, or architectural values.

STANDARDS FOR REHABILITATION

1. A property shall be used as it was historically or be given a new use that requires minimal change to its distinctive materials, features, spaces, and spatial relationships.
2. The historic character of a property shall be retained and preserved. The removal of distinctive materials or alteration of features, spaces, and spatial relationships that characterize a property shall be avoided.
3. Each property shall be recognized as a physical record of its time, place, and use. Changes that create a false sense of historical development, such as adding conjectural features or elements from other historic properties, shall not be undertaken.
4. Changes to a property that have acquired historic significance in their own right shall be retained and preserved.
5. Distinctive materials, features, finishes, and construction techniques or examples of craftsmanship that characterize a property shall be preserved.
6. Deteriorated historic features shall be repaired rather than replaced. Where the severity of deterioration requires replacement of a distinctive feature, the new feature shall match the old in design, color, texture, and, where possible, materials. Replacement of missing features shall be substantiated by documentary and physical evidence.
7. Chemical or physical treatments, if appropriate, shall be undertaken using the gentlest means possible. Treatments that cause damage to historic materials shall not be used.
8. Archeological resources shall be protected and preserved in place. If such resources must be disturbed, mitigation measures shall be undertaken.
9. New additions, exterior alterations, or related new construction shall not destroy historic materials, features, and spatial relationships that characterize the property. The new work shall be differentiated from the old and shall be compatible with the historic materials, features, size, scale and proportion, and massing to protect the integrity of the property and its environment.
10. New additions and adjacent or related new construction shall be undertaken in such a manner that, if removed in the future, the essential form and integrity of the historic property and its environment would be unimpaired.

REHABILITATION AS A TREATMENT:

When repair and replacement of deteriorated features are necessary, when alterations or additions to the property are planned for a new or continued use, and when its depiction at a particular period of time is not appropriate, Rehabilitation may be considered as a treatment. Prior to undertaking work, a documentation plan for Rehabilitation should be developed.

RESTORATION is defined as the act or process of accurately depicting the form, features, and character of a property as it appeared at a particular period of time by means of the removal of features from other periods in its history and reconstruction of missing features from the restoration period. The limited and sensitive upgrading of mechanical, electrical, and plumbing systems and other code-required work to make properties functional is appropriate within a restoration project.

STANDARDS FOR RESTORATION

1. A property shall be used as it was historically or be given a new use which reflects the property's restoration period.
2. Materials and features from the restoration period shall be retained and preserved. The removal of materials or alteration of features, spaces, and spatial relationships that characterize the period shall not be undertaken.
3. Each property shall be recognized as a physical record of its time, place, and use. Work needed to stabilize, consolidate and conserve materials and features from the restoration period shall be physically and visually compatible, identifiable upon close inspection, and properly documented for future research.
4. Materials, features, spaces, and finishes that characterize other historical periods shall be documented prior to their alteration or removal.
5. Distinctive materials features, finishes, and construction techniques or examples of craftsmanship that characterize the restoration period shall be preserved.
6. Deteriorated features from the restoration period shall be repaired rather than replaced. Where the severity of deterioration requires replacement of a distinctive feature, the new feature shall match the old in design, color, texture, and, where possible, materials.
7. Replacement of missing features from the restoration period shall be substantiated by documentary and physical evidence. A false sense of history shall not be created by adding conjectural features, features from other properties, or by combining features that never existed together historically.
8. Chemical or physical treatments, if appropriate, shall be undertaken using the gentlest means possible. Treatments that cause damage to historic materials shall not be used.
9. Archeological resources affected by a project shall be protected and preserved in place. If such resources must be disturbed, mitigation measures shall be undertaken.
10. Designs that were never executed historically shall not be constructed.

RESTORATION AS A TREATMENT: When the property's design, architectural, or historical significance during a particular period of time outweighs the potential loss of extant materials, features, spaces, and finishes that characterize other historical periods; when there is substantial physical and documentary evidence for work; and when contemporary alterations and additions are not planned, Restoration may be considered as a treatment. Prior to undertaking work, a particular period of time, i.e., the restoration period, should be selected and justified, and a documentation plan for Restoration developed.

RECONSTRUCTION is defined as the act or process of depicting, by means of new construction, the form, features, and detailing of a non-surviving site, landscape, building, structure, or object for the purpose of replicating its appearance at a specific period of time and in its historic location.

STANDARDS FOR RECONSTRUCTION

1. Reconstruction shall be used to depict vanished or non-surviving portions of a property when documentary and physical evidence is available to permit accurate reconstruction with minimal conjecture, and such reconstruction is essential to the public understanding of the property.
2. Reconstruction of a landscape, building, structure or object in its historic location shall be preceded by a thorough archeological investigation to identify and evaluate those features and artifacts which are essential to an accurate reconstruction. If such resources must be disturbed, mitigation measures shall be undertaken.
3. Reconstruction shall include measures to preserve any remaining historic materials, features, and spatial relationships.
4. Reconstruction shall be based on the accurate duplication of historic features and elements substantiated by documentary or physical evidence rather than on conjectural designs or the availability or different features from other historic properties. A reconstructed property shall re-create the appearance of the non-surviving historic property in materials, design, color, and texture.
5. A reconstruction shall be clearly identified as a contemporary re-creation.
6. Designs that were never executed historically shall not be constructed.

RECONSTRUCTION AS A TREATMENT:

When a contemporary depiction is required to understand and interpret a property's historic value (including the re-creation of missing components in a historic district or site); when no other property with the same associative value has survived; and when sufficient historical documentation exists to ensure an accurate reproduction, Reconstruction may be considered as a treatment. Prior to undertaking work, a documentation plan for Reconstruction should be developed.

END

03-04 00